

THE MOST APPROPRIATE NATIONAL LEVEL ORGANIZATIONAL STRUCTURE  
AND COMMAND AND CONTROL SYTEM FOR  
U.S. CUSTOMS AND BORDER PROTECTION

A thesis presented to the Faculty of the U.S. Army  
Command and General Staff College in partial  
fulfillment of the requirements for the  
degree

MASTER OF MILITARY ART AND SCIENCE  
Homeland Security

by

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2012-01

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REPORT DOCUMENTATION PAGE				Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0188), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. <b>PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.</b>					
1. REPORT DATE (DD-MM-YYYY) 08-06-2012		2. REPORT TYPE Master's Thesis		3. DATES COVERED (From - To) AUG 2011 – JUN 2012	
4. TITLE AND SUBTITLE  The Most Appropriate National Level Organizational Structure and Command and Control System for U.S. Customs And Border Protection				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)  Thomas Pocorobba Jr.				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) U.S. Army Command and General Staff College ATTN: ATZL-SWD-GD Fort Leavenworth, KS 66027-2301				8. PERFORMING ORG REPORT NUMBER	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION / AVAILABILITY STATEMENT Approved for Public Release; Distribution is Unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT  The establishment of CBP on March 1, 2003 created the world's largest law enforcement agency encompassing several large, complex and diverse organizations from three separate Departments of the United States Government. Since its formation, CBP's national level headquarters has lacked an applicable organizational structure and an effective command and control (C2) system with its field offices to effectively and efficiently accomplish its mission of securing our Nation's borders and facilitating legitimate trade and travel.  This paper examines CBP's current national level organizational and C2 problems and identifies its appropriate organizational design and C2 system. In order to determine the appropriate design and C2 system, a qualitative study was conducted using a narrative approach assisted by documentation review and content analysis of official United States Army manuals, Joint Publications, and existing reference material and websites pertaining to organizational structure and organizational theory. By reorganizing its national level headquarters using a multi-divisional structure and adopting a "centralized command and de-centralized execution" C2 system, CBP will have greater efficacy and achieve a greater unity of effort among its components.					
15. SUBJECT TERMS U.S. Customs and Border Protection, Organizational Design and structure, C2 relationships					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT	18. NUMBER OF PAGES	19a. NAME OF RESPONSIBLE PERSON
a. REPORT (U)	b. ABSTRACT (U)	c. THIS PAGE (U)			19b. PHONE NUMBER (include area code)
			(U)	93	

Standard Form 298 (Rev. 8-98)  
Prescribed by ANSI Std. Z39.18

MASTER OF MILITARY ART AND SCIENCE

THESIS APPROVAL PAGE

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Thesis Title: The Most Appropriate National Level Organizational Structure and  
Command and Control System for U.S. Customs and Border Protection

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

## ABSTRACT

### THE MOST APPROPRIATE NATIONAL LEVEL ORGANIZATIONAL STRUCTURE AND COMMAND AND CONTROL SYSTEM FOR U.S. CUSTOMS AND BORDER PROTECTION, by Thomas Pocorobba Jr., 93 pages

The establishment of CBP on March 1, 2003 created the world's largest law enforcement agency encompassing several large, complex and diverse organizations from three separate departments of the United States Government. Since its formation, CBP's national level headquarters has lacked an applicable organizational structure and an effective command and control (C2) system with its field offices to effectively and efficiently accomplish its mission of securing our Nation's borders and facilitating legitimate trade and travel.

This paper examines CBP's current national level organizational and C2 problems and identifies its appropriate organizational design and C2 system. In order to determine the appropriate design and C2 system, a qualitative study was conducted using a narrative approach assisted by documentation review and content analysis of official United States Army manuals, Joint Publications, and existing reference material and websites pertaining to organizational structure and organizational theory. By reorganizing its national level headquarters using a multi-divisional structure and adopting a "centralized command and de-centralized execution" C2 system, CBP will have greater efficacy and achieve a greater unity of effort among its components.

## ACKNOWLEDGMENTS

I would like to thank my wife Morgan for her abounding love, support, and patience throughout this process. Without her support, this thesis could not have been made possible.

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## ACRONYMS

C2	Command and Control
CBP	Customs and Border Protection
DHS	Department of Homeland Security
FM	Field Manual
GAO	General Accounting Office
INS	Immigration and Naturalization Service
JFC	Joint Field Command
JP	Joint Publication
OAM	Office of Air and Marine
OFO	Office of Field Operations
OT	Office of International Trade
U.S.	United States
USBP	United States Border Patrol
USCS	United States Customs Service

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## CHAPTER 1

### INTRODUCTION

The terrorist attacks of September 11, 2001 not only changed the American psyche with regard to travel and security, but it was the catalyst for the most sweeping reforms in the federal government in over a half century.<sup>1</sup> The Department of Homeland Security (DHS) was created through the integration of all or part of 22 different Federal departments and agencies with a nexus to homeland security.<sup>2</sup> As a result of this large-scale reorganization, the division of labor, organizational design, command and control (C2) relationships and decision-making abilities of the affected agencies were radically altered, causing a tremendous amount of consternation, inefficiency, and resentment among the employees. One of the main components of DHS most affected by this reorganization is United States (U.S.) Customs and Border Protection (CBP).

Nearly nine years after its formation, CBP still lacks an effective and appropriate national-level organizational structure and overall C2 system. This thesis focuses on answering the following question: what is the appropriate national level organizational structure and C2 system for CBP? Finding the appropriate national-level organizational structure and C2 system will create greater efficacy and efficiency within the organization and better enable mission accomplishment.

“The structure of an organization can be defined simply as the sum total of the ways in which its labor is divided into distinct tasks and then its coordination is achieved among these tasks.”<sup>3</sup> To properly determine the ideal organizational structure and C2 system for CBP, we must first understand the organization’s roles and responsibilities,

where CBP sits within the overall Homeland Security enterprise and what problems exist within the current organizational structure and C2 system.

“The White House leads the overall homeland security policy direction and coordination. The Secretary of Homeland Security leads the Federal agency as defined by statute charged with homeland security and provides the agency with strategic direction and leadership, ensuring consistency with the President’s vision for national security.<sup>4</sup> To assist the Secretary of Homeland Security with carrying out the Homeland Security mission, DHS is task-organized into numerous components; one of them being CBP. The executive leadership of CBP is directly responsible to the Secretary of Homeland Security for the performance its organization’s assigned missions and for the preparedness of its personnel.

The White House, along with the Secretary of Homeland Security, the Secretary of Defense, the Chairman of the Joint Chiefs of Staff and the commanders of combatant commands are responsible for the national security strategic direction and are considered the strategic echelon within the overall national security construct.<sup>5</sup> The executive leadership and headquarters staff of DHS’ agencies, which include CBP’s executive leadership and its headquarters staff, are the operational echelon. “Activities at this level link tactics and strategy by establishing operational objectives needed to accomplish the strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events.”<sup>6</sup>

The field components (offices within an agency whose primary location and mission execution are outside the national-level headquarters) of each DHS Agency comprise the tactical level echelon. The execution of tasks, operations, and enforcement

actions to accomplish strategic and operational level objectives outside the headquarters element takes place at this level. CBP has fourteen component offices, most with a distinct field element.<sup>7</sup>

The definitions of the strategic, operational, and tactical echelons described above are an almost exact replica of the definitions of strategic, operational, and tactical levels of war.<sup>8</sup> Although homeland security is not considered warfare in the traditional sense of the word, homeland security is inextricably connected to national defense and therefore, it is prudent to use the three levels of warfare and the leadership echelon within those levels as a template to describe the echelons within the national security element.

“CBP is one of the Department of Homeland Security’s largest and most complex components, with a priority mission of keeping terrorists and their weapons out of the U.S. It also has a responsibility for securing and facilitating trade and travel while enforcing hundreds of U.S. regulations, including immigration and drug laws.”<sup>9</sup> CBP was officially established on March 1, 2003 when the United States Customs Service (USCS) was transferred to CBP, along with the United States Border Patrol (USBP), the U.S. Department of Agriculture’s Animal and Plant Health Inspection Service and the inspection function of the U.S. Immigration and Naturalization Service (INS).<sup>10</sup> At a glance, CBP’s overall organizational structure would appear to be classified as a mechanistic organization, a term synonymous with “bureaucracy.” “A mechanistic organization is primarily hierarchical with an emphasis on specialization and control, vertical communication, and heavy reliance on rules, policies, and procedures.”<sup>11</sup>

“CBP is charged with the dual mission of securing the Nation’s borders while facilitating legitimate trade and travel.”<sup>12</sup> To accomplish this multifaceted mission and

properly manage its employees, the overall organizational structure is divided into two broad categories; the national element and the field element. The national element is located in Washington, D.C. and has operational control of the entire field element which is comprised of various component offices located outside of the headquarters element.<sup>13</sup>

CBP is headed by a commissioner who is politically appointed by the President of the U.S. and a Deputy Commissioner, who is a career federal government employee at the Senior Executive Service level. Within the Office of the Commissioner are nine separate staff offices whose functions are to assist and advise the Commissioner on a wide array of “program areas” such as joint operations, policy, trade, legal issues and strategic integration.<sup>14</sup> Each staff office is headed by a senior-level executive at either the GS-15 or Senior Executive Service level and is considered part of the headquarters element.

The main body of CBP’s headquarters consists of fourteen component offices each headed by a senior-level executive at the Senior Executive Service-level who are titled “Assistant Commissioner “ (the lone exception is the Chief, USBP). The assistant commissioners and their executive staffs within the headquarters element are responsible for overseeing the operations and personnel of their respective component offices within the field element, providing resource allocation and ensuring their goals and objectives are nested within the *CBP FY 2009-2014 Strategic Plan*. The *CBP FY 2009-2014 Strategic Plan* “guides the strategic planning efforts of the various offices and programs within CBP.”<sup>15</sup>

The organizational structure within the national element is organized into a “high horizontal complexity” structure whereas all assistant commissioners of the fourteen

components are equally subservient in stature and report to the Commissioner through the Deputy Commissioner.<sup>16</sup> The flat and functional organizational structure gives the Deputy Commissioner and Commissioner a wide “span of control” directly over the national element, and over the entire organization through the national element. The organizational chart, in figure 1 on page 43, shows the graphic representation of how CBP is organized at the national-level at the time in which this chapter was written.<sup>17</sup> Appendix A depicts the proposed organizational structure.

The 14 component offices within the headquarters element can be broken down into three distinct sub-categories based on their similar roles and responsibilities within the organization: the operational component offices, the operational support component offices and the mission support component offices. The operational component offices are the offices within CBP that have the organic personnel, capabilities and enforcement authorities to directly accomplish the organization’s mission of securing our Nation’s borders and facilitating legitimate travel and trade.

The Office of Field Operations (OFO), the Office of Air and Marine (OAM), the Office of International Trade (OT), and the USBP are CBP’s operational component offices. The operational component offices conduct CBP’s decisive operation by enforcing of all federal customs and immigration laws and regulations while fostering legitimate and safe travel. U.S. Army Doctrine Publication 3-0, *Unified Land Operations* defines decisive operation as an operation which “leads directly to the accomplishment of a commander’s purpose. Commanders typically identify a single decisive operation, but more than one subordinate unit may play a role in the decisive operation.”<sup>18</sup> While all four component offices play a role in CBP’s decisive operation, one of the offices may be

designated as the main effort for a particular campaign or operation. U.S. Army Field Manual (FM) 3-0, *Operations*, defines main effort as “the designated subordinate unit whose mission at a given point in time is most critical to overall mission success.”<sup>19</sup>

Shortly after the merger, the legacy USCS, INS inspections, and the Department of Agriculture’s Animal and Plant Health Inspection Service were merged into a new component of CBP entitled the OFO. “OFO is the largest component in CBP and is responsible for securing the U.S. border at ports of entry while expediting lawful trade and travel.”<sup>20</sup> With over 28,000 employees, OFO is responsible for overseeing CBP’s antiterrorism, immigration, anti-smuggling, trade compliance, and agriculture protection operations at its 20 major field offices, 331 ports of entry, and at 70 locations within over 40 countries internationally.<sup>21</sup>

The USBP has over 23,000 employees and is the largest law enforcement agency in the country with a patrol function. Since 2001, USBP’s primary mission is preventing the entry of terrorists and terrorist weapons from entering the U.S. between the official ports of entry. While conducting its primary mission, the USBP simultaneously performs its traditional mission of enforcing the Nation’s immigration laws as well as detecting, interdicting and apprehending those who attempt to illegally enter or smuggle people and/or contraband across U.S. borders between the official ports of entry.<sup>22</sup> Both OFO and the USBP are roughly the size of an Army Corps. According to the Department of the Army Pamphlet 10-1, Organization of the U.S. Army, an Army Corps is comprised of between 20,000 and 45,000 soldiers.<sup>23</sup>

According to CBP’s main public website, CBP.gov, the mission of the OAM is to protect the American people and Nation’s critical infrastructure through the coordinated

use of integrated air and marine forces across the borders of the U.S.<sup>24</sup> The website also describes the roles and responsibilities of the Office of International Trade. “OT consolidates the trade policy, program development, and compliance measurement functions of CBP into one office. The Office provides uniformity and clarity for the development of CBPs national strategy to facilitate, expedite legitimate trade and manages the design and implementation of results-driven strategic initiatives of trade compliance and enforcement and conducts outreach with different trade groups.”<sup>25</sup>

The components within the operational support component office category are components whose primary functions and responsibilities are to directly support, augment or collaborate with the primary operational components. These offices accomplish this by providing a myriad of services and specialized expertise such as intelligence gathering and processing, international liaison, OVERSEAS initiatives, joint inter-component office coordination and planning. The four current component offices who would fall into this category are the Office of International Affairs, the Office of Intelligence and Investigative Liaison, the Office of Information and Technology, and the Office of Technology Innovation and Acquisition.

According to CBP’s official website, the Office of Intelligence and Investigative Liaison is responsible for the entire intelligence cycle. The intelligence cycle consists of planning, collection, processing, analysis, production and dissemination of all-source intelligence. Office of Intelligence and Investigative Liaison also assists with planning, synchronization, and coordination of certain operations and initiatives across CBP components and with external entities and spearheads CBPs Incident Management

efforts.<sup>26</sup> The Office of International Affairs is responsible for coordinating and supporting foreign initiatives, programs and activities within CBP.<sup>27</sup>

“The OTIA mission is to lead the operational requirements support and documentation as well as the acquisition efforts to develop, deploy, and integrate technology and tactical infrastructure in support of CBPs efforts to gain and maintain effective control of U.S. land border areas.”<sup>28</sup> The Office of Information and Technology is responsible for automated information systems, management of the research and development functions, tactical communications and all forensic and laboratory support of the agency.<sup>29</sup>

The mission support component offices are the offices within CBP whose mission is to provide administrative, human resource, financial management, training, and public and Congressional affairs support to the entire CBP organization. The Offices of Administration, Human Resource Management, Training and Development, Public Affairs, and Congressional Affairs are the current offices considered to have a mission support function. Each office has subject matter experts at the headquarters and field elements that provide support to all of the component offices allowing them to concentrate on their specified tasks and mission objectives.

Although implied the operational components are the lead entities within CBP, there is nothing written that states one component or one group of components have C2 over another or are higher up on the table of organization chart. Coordination for major events and national emergencies is handled by Office of Intelligence and Investigative Liaison, while the primary operational components and their field element execute the appropriate tactical function. Agency-wide policy development is primarily done through



collaborative efforts among the appropriate components, in most cases there will be a lead component designated by the Commissioner's office. The field element or the "operating core" as noted Organizational Theorist Henry Mintzberg described it is "the heart of the organization" and the subcomponent that executes tasks, operations, and enforcement actions to accomplish strategic and operational level objectives outside the headquarters element.<sup>30</sup>

The field element of the primary operational components (with the exception of OT) contains two levels of command: the regional level, (which would correlate to the U.S. Army's brigade level unit) is the echelon that reports directly to the national element and the local level which would be the equivalent to the Army's battalion level of organization. Local level commanders are subordinate to their respective regional level headquarters while all regional level headquarters are subordinate to the national headquarters.

The OAM, OFO, and USBP have numerous regional level headquarters throughout the country. USBP has regional headquarters called sectors that are headed by a Chief Patrol Agent. Each sector's area of responsibility is delineated by geographic boundaries and have numerous Border Patrol stations nested within its organizational structure. The number of stations within each sector varies. Each station is responsible for executing its assigned tactical level tasks, operations, and enforcement actions within a specified geographic boundary.

OFO's regional headquarters are called Field Offices and are commanded by a Director, Field Operations or DFO. Each Field Office has C2 over its local level offices within its area of responsibility: Ports of Entries. Ports of Entry are similar to Border

Patrol stations as they perform tactical level functions for its headquarters element. OT has its field element personnel co-located within either OFO's regional or local level offices. OAM's regional-level headquarters are called Branches. The OAM branch's subordinate offices are called units and in many cases are co-located at Border Patrol sector headquarters. Each component has its own unique command structure at the field level.

The operational and mission support offices all have varying degrees of field elements. In many cases, these offices have personnel located at either a regional or local level office of a primary operational component office. The names of regional offices, titles of the supervisors and managers, rank insignia and most importantly, the organizational culture are different among all the components with field offices.

U.S. Army FM 6-0, *Mission Command: Command and Control of Army Forces* defines "command and control" as "the exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of a mission."<sup>31</sup> The C2 system between CBP's headquarters element and its field elements are highly centralized, detailed command with the power and decision making concentrated at the top of the headquarters element. This is typical in any mechanistic or bureaucratic organization; information flows up the chain of command while detailed and explicit orders flow down the chain of command.<sup>32</sup> The Field Element does have some degree of decentralized decision-making ability when it comes to operations at the tactical level. However, virtually all significant incidents, operations orders, media inquiries, liaison with international governments, and any other event or subject the

headquarters element deems appropriate must be formally reported through the chain of command.

The field element of each component office has a formal chain of command that begins at the local level and moves upward through the regional office to their respective headquarters element and ends at the Commissioner's Office. Within each component office there is a hierarchy that links groups of workers to the level above them through a single person.<sup>33</sup>

New to the overall CBP command structure is the Joint Field Command (JFC)-Arizona whose headquarters opened in Tucson, AZ in February of 2011. The JFC is a field level component and the following paragraph best describes its roles and responsibilities:

On Feb. 3, CBP announced the Joint Field Command—a localized organizational realignment that integrates border security, commercial enforcement, and trade facilitation missions to more effectively meet the unique challenges faced in Arizona. The JFC oversees all CBP operations throughout Arizona, and is responsible for strategic and operational lay down for the Tucson and Yuma Border Patrol Sectors, the Office of Field Operations' Tucson Field Office, and the Office of Air and Marine's Tucson and Yuma Air Branches. The JFC complements the Department of Homeland Security's unprecedented investments in border security by bringing greater unity to evolving transnational threats active within Arizona by expanding coordination with other agencies and leveraging all CBP assets in a unified operating manner.<sup>34</sup>

Since the JFC-Arizona is new, it will be years before CBP officials can accurately assess its effectiveness or whether or not it improves efficiency within the organization. Several U.S. General Accounting Office (GAO) reports concerning the organizational structure and management practices of CBP's predecessor agencies, the INS and USCS recommended more clearly defined roles and responsibilities within its command structure and a reduction of regional offices (then defined as the tier between the field

element and the national element).<sup>35</sup> The JFC concept may best serve CBP by having several offices with delineated geographic areas that provide the Commissioner's intent and coordination to all or specified CBP assets for planning, preparing, executing and assessing joint law enforcement operations for a specific venture or during responses to national emergencies.<sup>36</sup>

The lack of an appropriate overall organizational structure at CBP headquarters diminishes the overall efficacy of the organization. The current structure of the headquarters element, which is depicted in Figure 1, is not suitable for the large, complex, and highly specialized organization that CBP has become. Such a flat and horizontal construct is best suited for small, simple companies. Since there are no senior-level managers between the Commissioner's office and the 14 Assistant Commissioners and 9 Staff Office Directors, the Commissioner has a very large span of control. This structure is problematic because it created a decentralized environment among the components without adequate control and guidance to ensure the Commissioner's directives and strategies are implemented in an effective and unified manner. In many instances, mission support and operational support component offices create policy and procedural memoranda without adequate input and collaboration from the operational component offices. Having all the components listed equally on the organizational chart has led to a very competitive and "stove-piped" atmosphere with none of the components adequately supporting each other to effectively and efficiently accomplish the mission.

There is also not an appropriate C2 system within CBP. The lack of a clear C2 system led to duplicative efforts and programs, bad communications among the components and an overly bureaucratic system where it takes a great amount of effort and

coordination just to get basic tasks accomplished. Reorganizing the national element's organization structure and adopting a C2 system such as the Army's Mission Command would allow subordinate offices within the field element to accomplish the mission of securing our Nation's borders and facilitating legitimate trade and travel in a harmonious and effective manner.

After nine years as the world's largest law enforcement agency encompassing several large, complex and diverse organizations with different and often competing organizational cultures, it is clear a reorganization is warranted. The organizational structure at the national headquarters needs to be restructured and an overall C2 system that is predicated on "centralized command and decentralized execution" must be adopted. Therefore the main thesis of this paper will be to answer the following question: what is the appropriate national level organizational structure and C2 system for CBP? To answer this question properly, a subsidiary question must also be addressed vis-à-vis the JFC concept. Simply put, where does the JFC-Arizona and any future JFCs belong within the overall organization structure?

This study hopes to assist CBP senior management in designing the appropriate organizational structure at the headquarters element and the appropriate C2 system between the national and field elements. "Appropriate" means the best structure/C2 system that clearly delineates each office's function within the organization and creates greater efficacy and efficiency which better enables mission accomplishment. The basic definition of organizational design "is the process of creating a structure that best fits a purpose, strategy, and environment."<sup>37</sup> The goal of the paper is to provide unbiased and

thorough research that adequately addresses the problem statements and answers the thesis questions.

This study is predicated on the fact that CBP will continue to exist with its entire component and staff offices intact and that there will be no major restructuring within the DHS in the foreseeable future. Additionally, by conducting a qualitative study using a narrative approach assisted by documentation review and content analysis; the primary and secondary thesis questions will be answered.

This study will only contain information available through unclassified and open sources available online and in hard-copy. There will be no “classified,” “law enforcement sensitive,” or “For Official Use Only” materials utilized for this research. The study will not include historical interviews or any other interviews of CBP employees because the researcher is concerned employees would give a biased perspective and/or opinion whether intentional or unintentional. At the beginning, the study will briefly discuss the history and formation of CBP and DHS to include its predecessor agencies to provide essential background information but the study will largely focus on the current and potential organizational structures and C2 systems of CBP. The scope of the study will be to determine the most appropriate national level organizational structure and C2 system for CBP.

This chapter focused on the formation of DHS and CBP, the current state of the national and field level organizational structure, in-depth descriptions of all of the staff and component offices and the C2 relationship between the national and field element of CBP. The chapter also outlined the problems with the current national level organizational construct and C2 system and offered the answer to the thesis questions

which is that CBP's organizational structure, at the national level, needs to be reorganized and redesigned while the C2 system between the national and field elements should mirror the U.S. Army's C2 system of "mission command." The next chapter is a literature review of various sources that will answer questions from this chapter.<sup>38</sup>

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<sup>1</sup>Department of Homeland Security, *2009 Quadrennial Homeland Security Review Report* (Washington, DC: Government Printing Office, 2009), v.

<sup>2</sup>Department of Homeland Security, "Creation of the Department of the Homeland Security," [http://www.dhs.gov/xabout/history/gc\\_1297963906741.shtm](http://www.dhs.gov/xabout/history/gc_1297963906741.shtm) (accessed 27 December 2011).

<sup>3</sup>Henry Mintzberg, *Structure in Fives: Designing Effective Organizations* (Englewood Cliffs, NJ: Prentice Hall, 1993), 2.

<sup>4</sup>Department of Homeland Security, *2009 Quadrennial Homeland Security Review Report*, ix.

<sup>5</sup>Department of Defense, Joint Publications (JP) 1, *Doctrine for the Armed Forces of the United States* (Washington, DC: Government Printing Office, 2 May 2007, Incorporating Change 1, 20 March 2009), II-1.

<sup>6</sup>Headquarters, Department of Army, Field Manual (FM) 1-02, *Operational Terms and Graphics* (Washington, DC: Government Printing Office, 2004), 1-139.

<sup>7</sup>U.S. Customs and Border Protection, "Assistant Commissioners' Offices," [http://www.cbp.gov/xp/cgov/about/organization/assist\\_comm\\_off/](http://www.cbp.gov/xp/cgov/about/organization/assist_comm_off/) (accessed 15 January 2012); U.S. Customs and Border Protection, "CBP Organization Chart," <http://www.cbp.gov/linkhandler/cgov/about/organization/orgcha1.ctt/orgcha1.pdf> (accessed 20 March 2012).

<sup>8</sup>Headquarters, Department of Army, FM 1-02.

<sup>9</sup>U.S. Customs and Border Protection, "About CBP," <http://www.cbp.gov/xp/cgov/about/> (accessed 19 March 2012).

<sup>10</sup>U.S. Customs and Border Protection, "The History of CBP," [http://nemo.customs.gov/opa/timeLine\\_04212011.swf](http://nemo.customs.gov/opa/timeLine_04212011.swf) (accessed 30 December 2011).

<sup>11</sup>Andrew J. DuBrin, *Fundamentals of Organizational Behavior* (Mason, OH: Thomson South-Western, 2002).

<sup>12</sup>U.S. Customs and Border Protection, *Fiscal Year 2009-2014 Strategic Plan* (Washington, DC: Government Printing Office, 2009), 4.

<sup>13</sup>Headquarters, Department of Army, FM 1-02, 1-138. Operational Control as defined by Army doctrine.

<sup>14</sup>U.S. Customs and Border Protection, “Commissioner's Staff Offices,” [http://www.cbp.gov/xp/cgov/about/organization/comm\\_staff\\_off](http://www.cbp.gov/xp/cgov/about/organization/comm_staff_off) (accessed 12 March 2012).

<sup>15</sup>U.S. Customs and Border Protection, *Fiscal Year 2009-2014 Strategic Plan*, 2.

<sup>16</sup>William P. Anthony, Lawrence M. Gales, and B. J. Hodge, *Organizational Theory*, 5th ed. (Upper Saddle River, NJ: Prentice Hall, 1996), 36-37.

<sup>17</sup>U.S. Customs and Border Protection, “CBP Organization Chart.”

<sup>18</sup>Headquarters, Department of Army, Army Doctrine Publication (ADP) 3-0, *Unified Land Operations* (Washington, DC: Government Printing Office, 2011).

<sup>19</sup>Headquarters, Department of Army, Field Manual (FM) 3-0, *Operations* (Washington, DC: Government Printing Office, 2008, Incorporated Change 1, 2011), 5-12.

<sup>20</sup>U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”

<sup>21</sup>*Ibid.*

<sup>22</sup>*Ibid.*

<sup>23</sup>Headquarters, Department of the Army, Pamphlet 10-1, *Organization of the United States Army* (Washington, DC: Government Printing Office, 12 June 1994).

<sup>24</sup>U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”

<sup>25</sup>*Ibid.*

<sup>26</sup>*Ibid.*

<sup>27</sup>*Ibid.*

<sup>28</sup>U.S. Customs and Border Protection, “Office of Technology Innovation and Acquisition,” [http://www.cbp.gov/xp/cgov/border\\_security/otia/](http://www.cbp.gov/xp/cgov/border_security/otia/) (accessed 16 January 2012).

<sup>29</sup>U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”

<sup>30</sup>Mintzberg.



<sup>31</sup>Headquarters, Department of Army, Field Manual (FM) 6-0, *Mission Command: Command and Control of Army Forces* (Washington, DC: Government Printing Office, 2003), 1-1.

<sup>32</sup>*Ibid.*, 1-14.

<sup>33</sup>Robert I. McLaren, *Organizational Dilemmas* (New York: John Wiley and Sons, 1982).

<sup>34</sup>U.S. Customs and Border Protection, “About CBP.”

<sup>35</sup>U.S. General Accounting Office, FPCD-78-74, *Reductions Needed in the Number of Customs Regions and Districts-Organizational Alternatives*, Report by the Comptroller General of the United States (Washington, DC: Government Printing Office, October 10, 1978).

<sup>36</sup>Department of Defense, Joint Publications (JP) 3-0, *Joint Operations* (Washington, DC: Government Printing Office, 2011), ix.

<sup>37</sup>DuBrin, 256.

<sup>38</sup>Anthony Scott Good, “U.S. Border Patrol OCONUS: Possible Contributions to the Whole of Government Approach to Stability Operations” (Master’s thesis, U.S. Army Command and General Staff College, 2010), 9-10.

## CHAPTER 2

### LITERATURE REVIEW

#### CBP's History and Current Role

The literature review focuses on relevant material and scholarly works to give the reader awareness of key concepts and important facts that answer the thesis questions discussed in the previous chapter. The following themes and areas of study were used to focus on answering the thesis questions: organizational theory, C2 systems, and joint military doctrine. These subject areas are not new and there is plenty of material available to conduct a thorough research study. This review discusses the sources used to describe the background and current overall structure of CBP, relevant studies, best practices, and schools of thought on organizational theory, organizational design and C2 systems, and joint command doctrine.

To determine the most appropriate command structure for CBP, we must first understand what CBP is, where CBP came from and how CBP fits within the Homeland Security enterprise. The genesis of CBP began with the terrorist attacks of September 11, 2001. Shortly after the attacks, the President of the U.S. quickly established the White House Office of Homeland Security and Homeland Security Council to ensure federal response and protection efforts to a homeland security incident were coordinated and effective.<sup>1</sup>

After studying the federal government construct, it was determined a more unified homeland security structure was needed.<sup>2</sup> *The Department of Homeland of Security* is a document generated by the Executive Branch of the federal government that outlines the framework for what was to become the DHS.<sup>3</sup> *The Department of Homeland Security*

provides the rationale for creating a new Cabinet-level organization, what the mission of the nascent DHS will be, a brief history of government reorganization and most importantly, proposed organizational charts and a list of affected agencies that will be merged into DHS.<sup>4</sup> This document was the precursor to the Homeland Security Act of 2002 (Public Law 107-296) which was passed on November 25, 2002 and established CBP.

The *2009 Quadrennial Homeland Security Review* provides an outline for DHS's strategic framework with regard to homeland security. This quadrennial report provides a summation of DHS' history, describes its missions, goals, objectives, and the roles and responsibilities across the homeland security enterprise.<sup>5</sup> One of the points of this thesis is that CBP needs to foster a unity of effort among its component offices to effectively accomplish its mission within the homeland security enterprise. The *2009 Quadrennial Homeland Security Review* helps prove this point on page 71 by emphasizing the importance of a unity of effort within the homeland security enterprise:

Unity of Effort is the ultimate goal for maturing and strengthening the homeland security enterprise. A coordinated approach that promotes unity of effort will provide the strongest foundation to combat current, emerging, and future threats to the homeland. To achieve unity of effort, partners will need clearly defined roles and responsibilities, access to information, and a shared understanding of how risks are managed and prioritized to inform the allocation of limited resources.<sup>6</sup>

To fully understand CBP, a thorough review of its current overall organizational structure and mission is warranted. In addition, it is necessary to know what each component is responsible for. A review of CBP's brief history as well as a review of its main predecessor organizations; the INS and USCS is also critical to fully understand how CBP should be organized. The best resources for these subjects are found online

since there has not been a suitable amount of written scholarly works on the subject of the history of the INS and USCS.

The official website available to the public for CBP is [www.cbp.gov](http://www.cbp.gov). This site contains the current table of organization, full descriptions of each component and staff offices' roles and responsibilities, a historical timeline, and its "Strategic Plan for 2009-2014." The website is one-stop shopping for public information related to CBP. As mentioned in the introduction, this study will only focus on information available through open sources and not use any internal documents that are either classified or labeled "For Official Use Only" or "Law Enforcement Sensitive."

The *U.S. Customs and Border Protection Fiscal Year 2009–2014 Strategic Plan* is an important document with regard to this thesis paper and the overall organizational structure for CBP. The plan outlines CBP's strategic goals and objectives for the next five years and how the organization is planning on achieving them.<sup>7</sup> Page 26 has a diagram which shows that CBP's strategic plans, goals, and objectives are subservient to the DHS Strategic Plan.<sup>8</sup> This is further proof that CBP is an operational level echelon within the Homeland Security enterprise and its organizational structure at the national element and its C2 structure should be comparable to an Army Corps or other entity of similar size and overall mission set. Most importantly the document establishes CBP's core mission of securing our Nation's borders and facilitating legitimate trade and travel.<sup>9</sup>

### History of Organizational Issues

To avoid repeating failures of the past, it is important to understand the past problems and inefficiencies regarding the organizational structure and management of two of CBP's main predeceasing agencies, the INS and USCS. The best sources on this

subject are reports from the U.S. GAO. These reviews, were done intermittently over several decades, show a pattern improper organizational structure at the national level and unclear, ill-defined C2 systems. One source of information that provides a detailed analysis of the command structure problems of the INS is a report generated by the U.S. GAO entitled *Immigration Management: Strong Leadership and Management Reforms Needed to Address Serious Problems*. Released in 1991, the report gives a candid assessment of the management and organizational problems prevalent at the time and may reoccur within CBP if a regional office concept is once again adopted.<sup>10</sup>

The main problem GAO discovered at the time of the report was a lack of leadership over the years that produced an overall organizational structure marked by complicated lines of authority and communication based on geographic regions which produced geographic fragmentation and a decentralized regional management echelon.<sup>11</sup> This arrangement further exacerbated INS' segmented management, created geographical separation among INS programs, hampered resource allocation and consistent program implementation and made it more difficult for INS to effectively perform its changing and growing mission.<sup>12</sup> The lengthy report also gives a condensed history of the organizational structure of the INS from the 1950s to the early 1990s.

A follow up report was done in 1997, by GAO, entitled *INS Management: Follow up on Selected Problems*. One of the five areas the review assessed was whether or not INS revised its organizational structure which the review in 1991 determined was problematic.<sup>13</sup> The 1997 GAO report states "in 1994 the Commissioner established a new organizational structure with four Executive Associate Commissioners (EAC) and regional directors who report to one of the executive associate commissioners. The

reorganization reportedly has improved oversight of district offices and Border Patrol sectors but has also created some internal communication problems.”<sup>14</sup>

Additional GAO reports on the subject of INS organizational and management problems were completed in 1999 and in 2001. *Immigration and Naturalization Service: Overview of Management and Program Challenges* and *Immigration and Naturalization Service: Overview of Recurring Management Challenges; Statement of Richard M. Stana, Director, Justice Issues* were subsequent reports released in 1999 and 2001 respectively. Both reports contain testimony given by Richard Stana, then GAO Director of Justice Issues to Congress concerning the organizational and management problems outlined in previous reports.<sup>15</sup> Mr. Stana’s testimony in both cases highlighted the problems identified and what INS management did to remedy them. Both the 1999 and 2001 reports indicated that although INS had made progress in alleviating their management and organizational challenges, there were still issues unresolved.<sup>16</sup>

The INS was not the only CBP predecessor agency that GAO found to have had organizational and managerial problems. Two key GAO reports entitled *Managing the Customs Service* and *Reductions Needed in the Number of Customs Regions and Districts- Organizational Alternatives* each look into the USCS’s management and business practices to include its organizational structure.<sup>17</sup> Two of the GAO’s main findings highlighted in *Managing the Customs Service* regarding the management and organizational structure were:

First, the headquarters policy making offices are divided by job function as opposed to being aligned by mission. This functional division encourages top policymakers to focus on functional concerns, as opposed to mission effectiveness, and places the responsibility for managing conflicting priorities and integrating cross-office functions in the Commissioner’s office. Second, a

structural emphasis is placed on geographic diversity by the dispersion of line authority from the Commissioner's office directly to regional offices, which develop independent policies based upon regional priorities. This diversity conflicts with the agency's objective of maintaining uniform programs and again places the responsibility for ensuring consistent policy implementation in the Commissioner's office.<sup>18</sup>

The report entitled *Reductions Needed in the Number of Customs Regions and Districts- Organizational Alternatives* was completed in 1978. The report summarizes numerous organizational studies that questioned the USCS nine- region and 45 district configuration in effect at the time of the report.<sup>19</sup> The 1978 GAO report states a reduction of three regions and 15 districts would cut overhead, maintain a better balance of workload and personnel among the field offices, improve operational efficiency and coordination and there would be a consistent application of laws and regulations.<sup>20</sup> The report is relevant today because it confirms that having a bloated regional echelon between the national element and field element is neither efficient nor effective.

A key GAO report published in 2005 entitled *Department of Homeland Security: Addressing Management Challenges That Face Immigration Enforcement Agencies* outlines a number of key success factors with regard to organizational transformations and restructuring.<sup>21</sup> One of these key factors is organizational alignment within the management framework.<sup>22</sup> "An organization's activities, core processes, and resources must be aligned to support its mission and help it achieve its goals."<sup>23</sup> This report will make the case for mission-centric organizational structure at the national element.

A bulk of this chapter thus far was spent concentrating on GAO reports that focused on past organizational and management problems of two of CBP's main legacy agencies, the INS and USCS. This was necessary to help illustrate that the current problems and issues with organizational structure and C2 systems are longstanding

issues. These reports are applicable to analyzing the organizational and C2 structures of the national and field elements and the JFC-Arizona. GAO does offer some potential solutions to these problems which will be further explored in chapter 4.

### Organizing the National Element

With a firm understanding of CBP's current organizational make-up, brief history, and both its current and historic problems with organizational structure and C2, the next steps are to analyze the national and field elements' organization structure through the lens of an organizational theorist and then to find what appropriate measures must be taken. The best way to determine what the appropriate organizational structure of the national element should be is to study the core concepts, key issues and themes of organization theory. According to Richard Daft, organization theory "is a way to see and analyze organizations more accurately and deeply."<sup>24</sup> One of the main focuses of this paper is to conduct a deep and accurate analysis of CBP through the lens of organization theory to determine the appropriate structure at the national element. There has been a great amount of research done regarding how organizations are structured and designed and the next several pages will concentrate on what has been written about organization theory and how it can be used to answer the main thesis question.

*Organization Theory: Modern Symbolic and Postmodern Perspectives* (1997) by Mary Jo Hatch provides a comprehensive look into the field of organizational theory through the lenses of both modern symbolic and postmodern perspectives (i.e. perspectives that became recognized in the 1980s and 1990s respectively).<sup>25</sup> Hatch's book also looks uses the classical and modern disciplines as the framework of her



textbook but the dominant ideas and concepts are from the two organization theory paradigm from the last twenty to twenty-five years.<sup>26</sup>

Richard L. Daft is the author of *Organization Theory and Design*. His premise for writing a ninth edition was to integrate contemporary problems about organization design and structure with classic ideas and theories.<sup>27</sup> *Organization Theory and Design*, is written in textbook format and provides a broad overview of organization theory and design. Daft provides the reader with plenty of definitions of key terms used in this field and he is adept at using modern day businesses and government organizations as examples when explaining core concepts and theories.<sup>28</sup>

Andrew J. DuBrin's *Fundamentals of Organizational Behavior* and *Organizational Theory* by William P. Anthony, Lawrence M. Gales, and B.J. Hodge are outstanding sources with regard to foundational concepts of organizational structure and design.<sup>29</sup> DuBrin's chapter entitled "Organization Structure and Design" provides six key concepts in how organizations are structured; mechanistic versus organic, formal versus informal, degree of formalization, degree of centralization, complexity, and coupling.<sup>30</sup> Based on DuBrin's definition, CBP is best described as a mechanistic organization as stated in the previous chapter.<sup>31</sup> *Organizational Theory*, provides additional insight into the nature of structure and design, differentiation and span of control.<sup>32</sup>

Determining the proper span of control for CBP's senior level managers is an important piece in the overall organizational structure at the national level. In his seminal article entitled "The Manager's Span of Control." Lyndall F. Urwick argues that "no superior can supervise directly the work of more than five or at most, six subordinates whose work interlocks."<sup>33</sup> V. A. Graicunas also believes in limiting the span of control

for managers. He opined that “one of the surest sources of delay and confusion is to allow any superior to be responsible for the control of too many subordinates.”<sup>34</sup>

There are several other authors who support the concept of a narrow span of control. Troy Lane gives six criteria to use to determine whether or not an organization should utilize a narrow span of control. They are: complexity in the workplace, dispersed workforce by time or space, new and inexperienced workforce, a high degree of administrative requirements, a high degree of joint interdependence among the subordinates, and employees’ expectations for interaction and feedback.<sup>35</sup>

*Organizational Dilemmas* by Robert I. McLaren deals with the large number of structural dilemmas that managers face constantly, specifically with regard to bureaucracy, authority, span of control, unity of command and mechanisms for coordination.<sup>36</sup> Chapters 22 and 25 of *The Analysis of Organizations*, are devoted to the topics of managerial structures and design for organizations respectively.<sup>37</sup>

Other key sources dealing with the analysis of organizational structures and managerial controls that will be used in this study include *The Structure of Organizations* by Peter M. Blau and Richard A. Schoenherr and Max Weber’s *The Theory of Social and Economic Organization*. Weber created the concept of a bureaucracy in the late 19th century. His intent was to create the ideal organization to be used as an alternative to the organizational practices that were dominant before and during the industrial revolution.<sup>38</sup>

Answering the main thesis question not only entails determining the appropriate organizational structure for CBP headquarters, but designing the structure as well. Henry Mintzberg’s *Structure in Fives: Designing Effective Organizations* provides insight into how to effectively design an organization and how organizations are structured.<sup>39</sup>

Mintzberg believes there are five work coordinating mechanisms, five basic parts to an organization and five organizational configurations.<sup>40</sup> For this thesis, the most relevant part of the book is Mintzberg's definitions and analysis of a machine bureaucracy, professional bureaucracy, and multi-division organization.<sup>41</sup>

*Organizational Design: The Organizational Audit and Analysis Technology* by Kenneth D. Mackenzie is devoted entirely to the study of organizational design and is divided into three parts: "Part 1 is a discussion of organizational design and the development of a technology; Part 2 presents the theory underlying this organizational design technology, and Part 3 discusses, in detail, the specifics of how an organizational design was accomplished."<sup>42</sup> The thesis will primarily use information from the first two parts of the book because the data is more qualitative in nature and more relevant in answering the main thesis question.

*Organization Charts* shows us structures of more than 200 businesses and non-profit organizations. After an initial review of this book, one thing is apparent: the larger the business or corporation, the more complex and differentiated the organizational structure is.<sup>43</sup> In addition to listing over 200 organizational charts, the book explains the concept of specialization and how it involves the grouping or departmentalization of positions or offices.<sup>44</sup> This is an important topic for later discussion when the national element of CBP is explored in further detail.

### Command and Control

The second part of the primary thesis question is "what is the appropriate C2 system for CBP?" More specifically, what should the C2 system or relationship be between the national element (CBP headquarters) and its field element? The best sources

on the subject of C2 come from the military, specifically the U.S. Army since the subject of C2 is not found in material pertaining to organization theory or business. Researchers and subject matter experts in these fields see the correlation between superior and subordinate units as more of a personal relationship or connection. This perspective is not necessarily appropriate for CBP since the most of the field element (OFO, USBP, and OAM specifically) is considered by many to be a para-military organization that does law enforcement and needs a C2 system similar to a military organization or a professional bureaucracy.

U.S. Army doctrine and FMs will serve as paramount resources for researching the appropriate C2 system for CBP. Establishing the definitions for C2 and C2 system are the first steps in answering the second portion of the thesis question. U.S. Army FM 6-0, *Mission Command: Command and Control of Army Forces* defines C2 as “the exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of a mission.”<sup>45</sup> The manual also defines C2 system as “the arrangement of personnel, information management, procedures, and equipment and facilities essential for the commander to conduct operations.”<sup>46</sup> These definitions will be used throughout the paper as a guideline for determining the appropriate C2 system for CBP.

FM 6-0 is the U.S. Army’s capstone manual regarding C2. “It provides the basis for C2 doctrine, tactics, techniques, and procedures in all army publications and it promotes common understanding of the fundamentals and concepts of C2 in Army operations.”<sup>47</sup> The manual provides key C2 terms and definitions applicable to the paper

and in answering the primary thesis question. Another important U.S. Army manual regarding C2 is FM 1, *The Army*.

FM 1 is important because it describes the Army's preferred method for C2: mission command.<sup>48</sup> Mission Command will be one of the C2 systems analyzed in chapter 4. The manual also provides information on the concept of joint interdependence, a concept this paper will cover in more detail during the analysis chapter.

"Fundamentally, joint interdependence means each Service depends on the others and on the joint force for key capabilities. It is based on recognition that the Armed Forces fight as one team of joint, interagency, and multinational partners."<sup>49</sup> This paradigm can be applicable to CBP's national element as well as its potential C2 system.

FM 1-02, *Operational Terms and Graphics* provides a compilation of doctrinally-accepted definitions taken from approved Army FMs and Marine Corps publications, which will assist the researcher in explaining applicable terms and definitions relative to this study.<sup>50</sup> These terms and definitions will serve as building blocks for the proposed organizational structure and C2 system for CBP.

Other key Army FMs that can provide information, terms and definitions for this paper are Department of Army, FM 3-0, *Operation*, Army Doctrine Publication (ADP) 3-0, *Unified Land Operations*, and Department of the Army, FM 6-22, *Army Leadership: Competent, Confident, and Agile*.

As stated in chapter 1, the subsidiary question of this paper is "where do the JFC Arizona and any future Joint Field Commands belong within the overall organization structure?" The primary sources used to answer this question come from U.S. Joint

Doctrine. No other entity in the world has a better understanding of joint doctrine and operations than the U.S. Armed Forces.

Joint Publication (JP) 1, *Doctrine for the Armed Forces of the United States*, 2 May 2007, Incorporating Change 1 is the capstone joint doctrine publication. “It provides doctrine for unified action by the Armed Forces of the United States.”<sup>51</sup> The publication also specifies the authorized command relationships, provides fundamental principles and guidance for C2, prescribes guidance for organizing joint forces, and describes policy for selected joint activities.<sup>52</sup> The chapters of this publication that will receive the most attention are Chapter II entitled “Doctrine Governing Unified Direction of Armed Forces” and Chapter IV entitled “Doctrine for Joint Command and Control.”<sup>53</sup>

JP 3-0, *Joint Operations* outlines the fundamentals of joint operations, the art of joint command and organizing for joint operations will be utilized to provide a foundation for how joint operations are organized including C2 and organizing the joint operations headquarters.<sup>54</sup> This publication provides more specific guidance on joint operations (to include joint functions and organizing for joint operations) and is built upon the foundation for joint doctrine: JP-1. Other JPs will be used to augment JP-1 and JP 3-0 for this thesis are JP 5-0 *Joint Operation Planning* and JP 3-33, *Joint Task Force Headquarters*.

### Conclusion

The literature review found there was a substantial amount of information available to the general public regarding CBP’s history, current organizational structure, and mission as well as the roles and responsibilities of its staff and component offices. The material found showed that CBP is a large, complex organization whose dual

mission is an important piece of the homeland security enterprise. Several GAO reviews conducted on CBP and its two main legacy predecessoring agencies, the INS and USCS revealed that organizational structure and the managing of field offices have been historically problematic. Although there has been some improvement over the years, there are still organizational structure and C2 system problems within CBP.

A thorough review of literature within the field of organization theory demonstrated there is enough material written by subject matter experts to determine the appropriate organizational structure for the national element. According to the literature reviewed, CBP's organizational structure at the national element is too simple and insufficient for an organization its size. This particular flat and horizontal structure is meant for a small company and the large span of control that the Commissioner has, (especially given the fact that the person who holds this office is a political appointee) is much too wide. Evidence suggests the national element should be restructured into a more divisionalized or M-shaped format with the various staff and component offices grouped together based on the similarities in job functions.

Finally a review of U.S. Army and JPs found the best type of C2 system for a large, federal organization with a para-military mission is "mission command" whose core concept is "centralized command and decentralized execution." Several theories outside of the military also suggest an organization as large as CBP with a diverse, professionalized, and nation-wide workforce should have a C2 construct that emphasizes the decentralized execution of tasks among its field-level ranks and offices.

Evidence from Joint publications and Army FMs also shows that joint command structures and headquarters are temporary in nature and are created on order by the

President of the U.S. or another high-ranking member within the strategic level to manage a multi-Service or multinational force to achieve a specific military goal or desired end state.<sup>55</sup> The next chapter will describe the research methodology used for this thesis paper.

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<sup>1</sup>Department of Homeland Security, “Creation of the Department of the Homeland Security.”

<sup>2</sup>Ibid.

<sup>3</sup>George W. Bush, *The Department of Homeland Security* (Washington, DC: Government Printing Office, 2002).

<sup>4</sup>Ibid.

<sup>5</sup>Department of Homeland Security, *2009 Quadrennial Homeland Security Review Report*.

<sup>6</sup>Ibid., 71.

<sup>7</sup>U.S. Customs and Border Protection, *Fiscal Year 2009-2014 Strategic Plan*.

<sup>8</sup>Ibid., 26.

<sup>9</sup>Ibid.

<sup>10</sup>U.S. General Accounting Office, GAO/GGD 91-28, *Immigration Management: Strong Leadership and Management Reforms Needed to Address Serious Problems* (Washington, DC: Government Printing Office, 23 January 1991).

<sup>11</sup>Ibid.

<sup>12</sup>Ibid.

<sup>13</sup>U.S. General Accounting Office, GAO/GGD-97-132, *INS Management: Follow Up on Selected Problems* (Washington, DC: Government Printing Office, 22 July 1997), 1.

<sup>14</sup>Ibid.

<sup>15</sup>U.S. General Accounting Office, GAO-02-168T, *Immigration and Naturalization Service: Overview of Recurring Management Challenges* (Statement of Richard M. Stana, Director, Justice Issues, before the House Committee on the Judiciary,



Subcommittee on Immigration and Claims, 17 October 2001); U.S. General Accounting Office, GAO/T-GGD-99-148, *Immigration and Naturalization Service: Overview of Management and Program Challenges* (Washington, DC: Government Printing Office, 29 July 1999).

<sup>16</sup>Ibid.

<sup>17</sup>U.S. General Accounting Office, GAO/HR 93-14, *Managing the Customs Service* (Washington, DC: Government Printing Office, December 1992); U.S. General Accounting Office, GAO/GGD-95-73, *Managing Customs: Efforts Underway to Address Management Weaknesses* (Washington, DC: Government Printing Office, March 1995); U.S. General Accounting Office, FPCD-78-74.

<sup>18</sup>U.S. General Accounting Office, GAO/HR 93-14, 29-34.

<sup>19</sup>U.S. General Accounting Office, FPCD-78-74, 1.

<sup>20</sup>Ibid.

<sup>21</sup>U.S. General Accounting Office, GAO-05-664T, *Department of Homeland Security: Addressing Management Challenges That Face Immigration Enforcement Agencies* (Statement of Richard M. Stana, Director, Homeland Security and Justice Issues, before the Subcommittee on Immigration, Border Security, and Claims, 5 May 2005), 7.

<sup>22</sup>U.S. General Accounting Office, GAO-05-664T, 9.

<sup>23</sup>Ibid.

<sup>24</sup>Richard L. Daft, *Organization Theory and Design*, 9th ed. (Mason, OH: Thomson South-Western. 2007), 22.

<sup>25</sup>Mary Jo Hatch, *Organization Theory: Modern Symbolic and Postmodern Perspectives* (New York: Oxford University Press. 1997), 5.

<sup>26</sup>Ibid., 3-8.

<sup>27</sup>Daft, XV.

<sup>28</sup>Ibid.

<sup>29</sup>DuBrin; Anthony, Gales, and Hodge.

<sup>30</sup>DuBrin, 256.

<sup>31</sup>Ibid.

<sup>32</sup>Anthony, Gales, and Hodge, 30-48.

<sup>33</sup>L. F. Urwick, "The Manager's Span of Control," *Harvard Business Review* (May-June 1956): 39-47.

<sup>34</sup>Fred Nickols, "The Span of Control and Formulas of V.A. Graicunas," <http://www.nickols.us/graicunas.pdf> (accessed 20 February 2012).

<sup>35</sup>*Ibid.*

<sup>36</sup>McLaren, 29-55.

<sup>37</sup>Joseph A. Litterer, *The Analysis of Organizations*, 2nd ed. (New York: John Wiley and Sons, Inc., 1973), 551-583 and 629-650.

<sup>38</sup>Hatch, 170-171.

<sup>39</sup>Mintzberg.

<sup>40</sup>*Ibid.*

<sup>41</sup>*Ibid.*, 45-93.

<sup>42</sup>Kenneth D. Mackenzie, *Organizational Design: The Organizational Audit and Analysis Technology* (Norwood, NJ: Ablex Publishing Corporation, 1986), xi.

<sup>43</sup>Judith M. Nixon, *Organization Charts* (Detroit, MI: Gale Research Inc., 1992).

<sup>44</sup>*Ibid.*, ix.

<sup>45</sup>Headquarters, Department of Army, FM 6-0, Glossary-4.

<sup>46</sup>*Ibid.*

<sup>47</sup>*Ibid.*, viii.

<sup>48</sup>Headquarters, Department of Army, Field Manual (FM) 1, *The Army* (Washington, DC: Government Printing Office, 2005), 3-8.

<sup>49</sup>*Ibid.*, 3-10.

<sup>50</sup>Headquarters, Department of Army, FM 1-02.

<sup>51</sup>Department of Defense, JP 1, i.

<sup>52</sup>*Ibid.*

<sup>53</sup>*Ibid.*, v to vi.

<sup>54</sup>Department of Defense, JP 3-0.

<sup>55</sup>Department of Defense. JP 1.

## CHAPTER 3

### RESEARCH METHODOLOGY

Chapter 1 of this thesis focused on the formation of DHS and CBP, the current state of the national and field level organizational structures of CBP, in-depth descriptions of all of the staff and component offices and the C2 relationship between the national and field element of CBP. The chapter also outlined the problems with the current national level organizational construct and C2 system and identified the thesis questions to be answered.

The hypothesis for this thesis was also identified in Chapter 1. The hypothesis is CBP's organizational structure at the national level needs to be reorganized and redesigned while the C2 system between the national and field elements needs to mirror the U.S. Army's C2 system of "mission command." Part of the reorganization must include a determination of the current and future roles of the JFC concept within the organizational structure.

Chapter 2 of this thesis focused on the literature review for this thesis. Numerous sources were studied to properly answer the thesis questions from chapter 1 and to review theories, facts, and doctrine within the field of organization theory, C2, and joint military operations. Key terms and definitions were identified. CBP's history, current organizational structure and mission were also reviewed as well as numerous GAO reports regarding past and current problems with CBP's organizational structure and management.

The research method utilized for this thesis will be a qualitative study using a narrative research approach assisted by documentation review and content analysis of

existing publications, written documents and official websites pertaining to organizational structure, organizational theory and the current operations and history of CBP and DHS. There is sufficient research material available on the subject to provide the researcher a historical and theoretical framework. By using the narrative approach, the researcher will glean relevant facts, information, ideas and theorems that pertain to the primary and secondary thesis topics and synthesizing and reorganizing them into a new framework that will address the organizational and C2 challenges described in chapter 1.<sup>1</sup>

The first step taken to answer the thesis questions was to obtain information on CBP's background and history, overall mission and role within the homeland security enterprise. The results of the first step are found within chapter 1 and 2. Most of the material regarding these subjects was found online on either DHS's or CBPS's official websites. CBP's website also provided the current organizational structure of its headquarters located in Washington, D.C. and a brief description of the roles and responsibilities of each staff office and component office. The website also provided the roles and responsibilities for the field element of each component office. The facts and information gleaned from these official websites and numerous embedded documents provided historical facts and detailed information about CBP's goals and objectives provided a basis for understanding what CBP is and how it is organized.

With CBP's background and current organizational make-up and design established, the next phase is to identify the problems with the national-level organizational structure and its C2 relationship with the field elements. By analyzing literature on organization theory and management written by various subject matter

experts, well as U.S. Army FMs and Joint publications, it was determined the organizational structure CBP's national element as its C2 relationship with the field element is inadequate. The primary and subsidiary thesis questions were then established.

Literature on organization theory features numerous concepts, theories, and examples on how an organization should be organized within the public and private sectors. The literature also provides definitions of key terms and paradigms used within the field of study. Organization theory is a subject studied for the past several hundred years by scholars and sociologists such as Adam Smith, Mary Jo Hatch, Max Weber, Lyndall Urwick, Henry Mintzberg and Richard Daft.<sup>2</sup> These authors and other subject matter experts deliver essential information on organizational structure and design that will be used to identify the flaws and inefficiencies outlined in chapter 1 and determine the appropriate answer to the thesis questions.

U.S. Army FMs and U.S. Armed Forces JPs are the ultimate sources of information regarding C2. There are many FMs and JPs that provide doctrine, tactics, techniques, and practices regarding the art and science of the C2 of large, diverse, and complex units. These sources written and published by the U.S. military provide the requisite information that was used to determine the appropriate C2 system for CBP.

The analysis portion of the thesis, presented in chapter 4 used sources and literature from the official websites of DHS and CBP, organization theory, organization design and management as well as Army FMs and Armed Forces JPs to identify the problems with CBP's national level organizational structure and its C2 system. The same sources and literature were also used to determine the appropriate organizational structure

for its national element and determine the appropriate C2 relationship between the national and field elements.

The criteria used to determine the appropriate national level organizational structure and C2 system were: (1) what organizational structure and C2 system best enables CBP to accomplish its dual mission of securing our Nation's borders and facilitating legitimate trade and travel, (2) what organizational structure adequately departmentalizes each national element office, clearly delineates their roles and responsibilities and provides the proper supervision of these offices, (3) what system would a large, diverse, and complex government agency the size of CBP use to C2 its field level offices in order to effectively accomplish the agency's mission.<sup>3</sup>

This chapter stated what type of research methodology was used for this thesis, described the steps taken to obtain and use the appropriate information and materials to answer the thesis questions and the criteria used to determine the appropriate organizational structure and C2 system. The following chapter will present what the study found and answer the thesis questions.

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<sup>1</sup>John W. Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Approaches* (Thousand Oaks, CA: Sage Publications, Inc., 2007), 54-57.

<sup>2</sup>Hatch, 5.

<sup>3</sup>Good, 23-27.

## CHAPTER 4

### ANALYSIS

#### Introduction

The purpose of this research is to analyze material within the field of organization theory, official government websites, U.S. Army FMs, JPs, and other scholarly works to find the appropriate national level organizational structure and C2 system for CBP. For this study, the analysis in this chapter will cover written materials concerning organization theory, U.S. Army FMs and JPs regarding C2, and official government websites pertaining to the current operations and history of CBP and DHS.

Finding the appropriate national-level organizational structure and C2 system will create greater efficacy and efficiency within the organization and better enable mission accomplishment. Chapter 1 focused on CBP's history, mission, and place within the homeland security enterprise. Chapter 1 also provided the hypothesis for the paper and the thesis questions to be answered while chapter 2 focused on the literature review for this thesis. The criteria outlined in chapter 3 will be used to determine the appropriate organizational structure and C2 system.

This chapter will begin with an analysis of the current organizational structure of the national element to include its C2 system. The second part of the chapter will be an analysis of the field element's organization structure and C2 system. The third part of the chapter includes a detailed look into how the JFC-Arizona is structured and how it relates to joint military structures and organization. Chapter 4 ends with a summary of the conclusions that were derived from the examination of the relevant material.



### Analysis of the National Element

“CBP is one of the Department of Homeland Security’s largest and most complex components, with a priority mission of keeping terrorists and their weapons out of the U.S. It also has a responsibility for securing and facilitating trade and travel while enforcing hundreds of U.S. regulations, including immigration and drug laws.”<sup>1</sup> To determine the appropriate organizational structure and C2 system for CBP, further analysis of the national and field element’s makeup is warranted.

The overall organizational structure of CBP is a hybrid organizational structure. DuBrin defines a hybrid (or mixed) organization structure as “an organization structure that combines two or more types of organization forms into one structure.”<sup>2</sup> CBP is a bureaucracy; however, each of its two elements, the national and field are two different types of bureaucracy. The national element is a machine bureaucracy (also known as a mechanistic organization) while the field element is professional bureaucracy.<sup>3</sup>

“A bureaucracy is a rational, systematic, and precise form of organization in which rules, regulations, and techniques of control are precisely defined.”<sup>4</sup> Bureaucracy was conceived by noted sociologist Max Weber toward the end of the 19th Century as the ideal organization to be used as an alternative to the organizational practices that were dominant before and during the industrial revolution.<sup>5</sup> Henry Mintzberg states that according to Weber “ideal” meant pure, not perfect.<sup>6</sup>

In his book, *The Theory of Social and Economic Organization*, Weber states that the ideal bureaucracy has the following central characteristics:

- Rules and procedures controlling organizational activities
- A high degree of differentiation among organizational functions
- A high degree of job specialization

- An organization of offices determined by hierarchy, with each unit reporting to a higher unit and no unit free-loading
- A heavy emphasis on rules and norms to regulate behavior
- Interpersonal relationships characterized by impersonality in place of favoritism
- Selection and promotion based on merit
- All administrative actions recorded in writing<sup>7</sup>

All of these characteristics are present throughout CBP's overall construct within the national and field elements. There are not only rules and procedures controlling all organizational activities, but laws, statutes, codes of federal regulations, strategic plans and policies at the operational and strategic levels within the homeland security enterprise. There is a high degree of job specialization and differentiation among organizational functions. "CBP is a diverse organization of law enforcement professionals, trade specialists, intelligence analysts, agricultural scientists, and other employees responsible for a wide-ranging set of missions that protect the nation while ensuring its economic health."<sup>8</sup> The organization chart in figure 1 on page 43 demonstrates the high degree of differentiation among the organizational functions within CBP. A heavy emphasis on rules and norms to regulate behavior is apparent within CBP, especially among the employees who perform law enforcement or similar duties.<sup>9</sup>

"Interpersonal relationships characterized by impersonality in place of favoritism" simply means relationships are based on roles rather than people.<sup>10</sup> Selections and promotions are based on merit and in accordance of all appropriate federal civil service laws which are designed to prevent favoritism and nepotism.<sup>11</sup> This concept differs greatly from the practices that took place in the feudal, pre-industrial world from which the modern organization emerged.<sup>12</sup>

## CBP Organization Chart

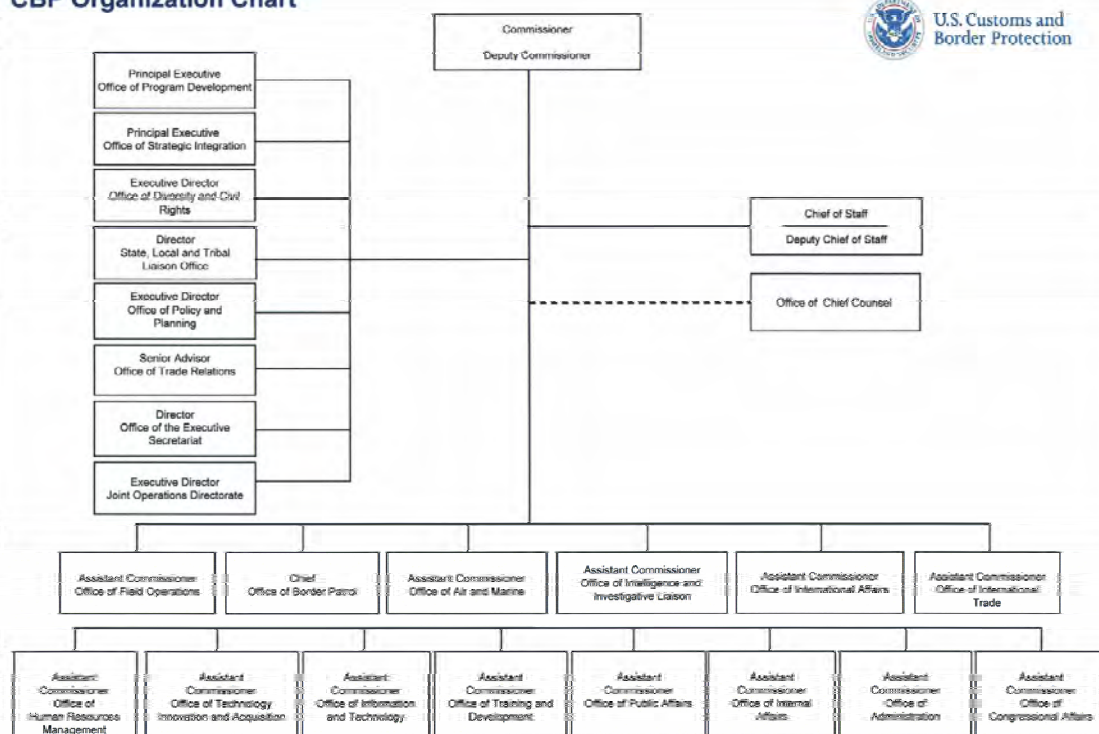


Figure 1. CBP Organization Chart

Source: U.S. Customs and Border Protection, “CBP Organization Chart,” <http://www.cbp.gov/linkhandler/cgov/about/organization/orgcha1.ctt/orgcha1.pdf> (accessed 20 March 2012).

As stated earlier, CBP’s national element and field element are two distinctly different forms of bureaucracy; the former being a machine bureaucracy and the latter a professional bureaucracy. Henry Mintzberg describes the basic structure of a *machine bureaucracy* as an organization that has:

Highly specialized, routine operating tasks; very formalized procedures in the operating core; a proliferation of rules, regulations, and formalized communication throughout the organization; large-sized units at the operating level; reliance on the functional basis for grouping tasks; relatively centralized power for decision making; and an elaborate administrative structure with a sharp distinction between line and staff.<sup>13</sup>

The national element is a machine bureaucracy because it is structured in the same manner and possesses all of the classic characteristics mentioned in the previous paragraph. “CBP Headquarters provides policies and procedures to all its domestic and international locations based on U.S. laws and regulations established by the executive and legislative branches of the federal government.”<sup>14</sup> C2 within the national element is a very process-orientated and hierarchal system. There are many vertical flows within the structure. An aggregation of feedback and administrative information in the form of reports, statistics, requests for approval, and other assorted personnel and administrative actions flow up the hierarchy while policies, directives, approvals and the elaboration of actions plans flow down.<sup>15</sup>

The characteristics of a machine bureaucracy also exist within each of the component offices of the national element. Some of the main characteristics of a machine bureaucracy within the component offices are a fixed division of labor, a clearly defined hierarchy, a high degree of job specialization and a heavy emphasis on rules and norms to regulate behavior. The C2 and vertical information “flows” operate in the same manner as it does throughout the entire CBP headquarters.

This vertical flow of information and orders exists between the national and field element and within the field element between the regional echelon and local echelon. Program management, policy and procedural creation and promulgation management are very formalized processes and are characteristics of a machine bureaucracy. Important

decision-making and bureaucratic control is centralized at the top of the organizational hierarchy and there is a proliferation of rules, regulations, and formalized communication throughout the organization.<sup>16</sup>

Managers and supervisors within CBP headquarters use bureaucratic control to manage the nearly 58,000 member workforce.<sup>17</sup> “Bureaucratic control is the use of rules, policies, hierarchy of authority, written documentation, standardization, and other bureaucratic mechanisms to standardize behavior and assess performance.”<sup>18</sup> Within CBP headquarters, there are thousands of work behaviors, information exchanges and critical decisions made that affect the organization as a whole. This bureaucratic form of organization and control is necessary for a large, complex, national and regulatory agency such as CBP. This machine bureaucracy style of organization makes large-scale accomplishments possible; however it is not without dysfunctions.<sup>19</sup> These dysfunctions will be explored in further detail later in this chapter.

Another way to describe the organization structure of CBP’s headquarters is a “high horizontal complexity” or “high horizontal differentiation structure.” “Horizontal differentiation refers to the division of work to be done into subtasks at the same organizational level. Horizontal differentiation is represented by the number of different individuals or units at the same level of an organization.”<sup>20</sup> At the national element; roles, responsibilities, tasks and program management are divided among the 14 component offices and nine staff offices of the Commissioner.<sup>21</sup> As mentioned in the introduction the fourteen component offices within the headquarters element can be broken down into three distinct sub-categories based on their similar roles and responsibilities within the

organization: the operational component offices, the operational support component offices and the mission support component offices.

Work and responsibilities at the national element is divided into functional departments. “Functional departmentalization is grouping people according to their expertise.”<sup>22</sup> Anthony, Gale, and Hodge use the term functional grouping, which they define as “the grouping of workers together according to the nature of the work (tasks and equipment).”<sup>23</sup> For example, Border Patrol agents and the myriad of mission support personnel hired to specifically support Border Patrol operations are grouped within the Office of Border Patrol and count as full-time employees for administrative and C2 purposes.<sup>24</sup> The same is true for all of the component and staff offices within CBP. Personnel are employed within a particular office based on their occupational skills and expertise and in most cases, work exclusively for the component or staff office to which they are assigned.

There is a high degree of interdependence between the operational component offices and the operational support and mission support offices. “Interdependence means the extent to which departments depend on each other for resources or materials to accomplish their tasks. High interdependence means departments must constantly exchange resources.”<sup>25</sup> The operational component offices such as USBP and OFO heavily rely on the operational support and mission support offices for policy direction and functional expertise within their respective fields. A prime example is the information technology support the operational offices receive from the Office of Information and Technology. The Office of Information and Technology provides the appropriate service when needed and has the employees who have the requisite expertise

and knowledge regarding computers, computer systems, telecommunications, sensors, and databases to adequately support these offices who do not have the appropriate personnel to manage these programs.<sup>26</sup>

In its current form, the structure of CBP headquarters gives the Commissioner and Deputy Commissioner wide “spans of control” over the staff offices, the component offices and all of their respective field elements. “Span of control refers to the number of immediate subordinate positions that a supervisor position controls or coordinates.”<sup>27</sup> According to the CBP organization chart, there are 13 assistant commissioners plus the Chief, USBP, nine staff office executives, the Chief of Staff, the Deputy Chief of Staff, and Chief Counsel who all directly report to the Commissioner through the Deputy Commissioner.<sup>28</sup>

There has been much debate over the years regarding a manager’s appropriate span of control. Early span of control theory was developed by Lyndall Urwick and V.A. Graicunas who both argued for limiting the amount of subordinates per supervisor to between five and six.<sup>29</sup> Urwick stated in his article entitled “The Manager’s Span of Control” that “no superior can supervise directly the work of more than five or, at the most, six subordinates *whose work interlocks*.”<sup>30</sup> He reasoned that a manager would “overstrain his capacity by trying to deal with too many subordinates directly” and that “there is no condition which more quickly produces a sense of indecision among subordinates or more effectively hampers communication than being responsible to a superior who has too wide a span of control.”<sup>31</sup>

Graicunas also supported this logic and summarized his reason for limiting the span of control in these words: “One of the surest sources of delay and confusion is to

allow any superior to be directly responsible for the control of too many subordinates.”<sup>32</sup>

Graicunas also felt that people had a limited span of attention, “which was then exemplified by research suggesting people could deal with no more than six digits.”<sup>33</sup>

Doris Entwisle and John Walton support this idea, “posing three factors that limit the control: the leader’s span of attention, multiplication of intergroup combinations, and management of clique formations.”<sup>34</sup> Gary Yukl of the University at Albany, State University of New York states that “When a manager has a large number of subordinates, it is more difficult to get all of them together for meetings, or to consult individually with each subordinate. Thus, leaders tend to use less participative leadership or to limit it to an ‘executive committee’ or to a few trusted ‘lieutenants’.”<sup>35</sup>

Troy Lane, Assistant Chief, Kansas State University Police Department states that:

High spans of control mean that there is much less time for any one supervisor to evenly disperse his or her time with subordinates. A common statistic is that 90 percent of a supervisor’s efforts are spent on 10 percent of personnel. Thus, supervisors with high numbers of subordinates are likely to have less time to devote to other assigned personnel. In busy or crisis times, a supervisor’s resources are even more taxed, and only problems of immediate importance can be addressed, often in order of perceived precedence.<sup>36</sup>

Lane also provides six reasons for a narrow span of control: complexity in the workplace, dispersed workforce by time or space, new and inexperienced workforce, a high degree of administrative requirements, a high degree of joint interdependence among the subordinates, and employees’ expectations for interaction and feedback.<sup>37</sup>

CBP’s national element meets virtually all of these criteria with the possible exception of having a new or inexperienced workforce. There is a great deal of complexity and constant change that exists in managing not only a headquarters element, but a field



element that operates in a complex and unstable environment. A plethora of administrative requirements, a high degree of joint interdependence among the subordinate offices, a workforce that is dispersed by both time and space, and employees' high expectations for interaction and feedback are the other element that exist within the national element which justify the need for a reduced span of control for both the Commissioner and Deputy Commissioner.<sup>38</sup>

### Analysis of the Field Element

As mentioned in the introduction, the field element of CBP is “the heart of the organization” and the subcomponent that executes tasks, operations, and enforcement actions to accomplish strategic and operational level objectives outside the headquarters element.<sup>39</sup> The field element is organized as a professional bureaucracy and executes its tasks in a decentralized manner out of necessity. Henry Mintzberg, the author of *Structure in Fives: Designing Effective Organizations* describes the fundamentals and key characteristics of a professional bureaucracy as follows:

The professional bureaucracy relies on the skills and knowledge of their operating professionals to function; all produce standard products or services. The professional bureaucracy relies for coordination on the standardization of skills and its associated design parameter, training and indoctrination. It hires duly trained and indoctrinated specialists-professionals- for the operating core, and then gives them considerable control over their own work. Control over his own work means that the professional works relatively independently of his colleagues, but closely with the clients he serves. The structure of these organizations is essentially bureaucratic, its coordination-like that of the Machine Bureaucracy-achieved by design, by standards that predetermine what is to be done. The operating core is dominated by skilled workers-professionals who use procedures that are difficult to learn, yet are well defined. This means an environment that is both complex and stable-complex enough to require the use of difficult procedures that can be learned only in extensive formal training programs, yet stable enough to enable these skills to become well-defined-in effect, standardized.<sup>40</sup>

The field element possesses all of these characteristics. The four operational component offices, OAM, OFO, OT, and the USBP are all dominated by skilled workers or professionals “who use procedures that are difficult to learn, yet are well defined.”<sup>41</sup> There is an elaborate application process for employment within these components. This process is outlined in detail on CBP’s main website but all positions are standardized and at a minimum require applicants to submit a resume that demonstrates that they meet the basic criteria and possess the requisite experience, take an entrance exam, oral interview or board, drug test, and undergo an extensive background investigation before an offer of employment is rendered.<sup>42</sup>

Employees hired as law enforcement officers and agents within these component offices must also successfully graduate from an Academy whose curriculum is specifically standardized and designed for the type of law enforcement in which these employees were hired. For example, someone hired as a Border Patrol agent must pass the Border Patrol Academy whose curriculum includes immigration and nationality law, criminal law, Spanish, physical techniques and conditioning, drivers training, firearms training and a myriad of other law enforcement related subjects that are Border Patrol specific.<sup>43</sup> Similar academies and standards exist for all OFO officers and OAM agents that are uniquely based on the respective office’s job requirements.

At these academies, the skills and knowledge of the profession are formally programmed into the would-be professional; however, this is only the first step. Following graduation, there is a long period of on-the-job training where the formal knowledge is applied, the practice of the skills perfected under the close scrutiny and supervision of advanced members of the profession.<sup>44</sup> “Once this process is completed,

the professional association typically examines the trainee to determine whether he has the requisite knowledge, skills, and norms to enter the profession.”<sup>45</sup> There are post-academy requirements and a rigorous on-job-the-training program that all law enforcement officers and agents must complete to be fully accepted into the profession. As new skills develop and new knowledge is generated, the CBP professional upgrades his expertise by taking online training, reading journals and recent court decisions, attending conferences and occasionally receiving formal retraining.<sup>46</sup>

The environment is the chief situational factor within the field element of CBP as with any professional bureaucracy.<sup>47</sup> The field element’s environment is a world-wide, complex, ever-changing atmosphere that dictates the actions of its employees. The goal of “securing our Nation’s borders while facilitating legitimate trade and travel” requires the professional CBP employee to be adaptive, flexible, well-trained, and independent decision-makers while still conforming to the standards of the profession as well as all appropriate laws, statutes, and regulations.<sup>48</sup>

The law enforcement environment is a reactive environment where decentralized decision-making must take place to safely and effectively accomplishment tasks and the overall mission. Decentralized decision-making is a key concept within the field element. The professional CBP officer or agent is charged with carrying out the CBP mission of securing our Nation’s borders and facilitating legitimate trade and travel. Many times, the accomplishment of this never-ending mission is carried out by individuals who are alone and working in remote areas outdoors and cannot request permission for every situation that occurs.

One other important aspect of the organization of CBP's field element is the fact that both its regional and local echelons are grouped according to geographic area. "In this structure, those responsible for all the activities of a firm in a given geographic area report to one manager."<sup>49</sup> Bowditch and Buono call this concept spatial differentiation; where work is divided according to geographical location.<sup>50</sup> This differs from the national element where all of the work is completed within the Washington, D.C. metropolitan area. The field element, like any professional bureaucracy is a highly decentralized structure, in both the vertical and horizontal dimensions with a great deal of the power over the operating work resting at the bottom of the structure; the professionals within the operating core.<sup>51</sup>

By establishing a hierarchy of authority and specific rules and procedures, bureaucracy provided an effective way to bring order to large groups of people and prevent abuses of power while also providing for systematic and rational ways to organize and manage tasks too complex to be understood and handled by a few individuals which greatly improved the efficacy and efficiency of large organizations.<sup>52</sup> There are several problems with bureaucracy and most bureaucratic organizations do not work the way Max Weber had in mind. According to Mary Jo Hatch, "organizations that employ large numbers of professionals will not perform well if they become overly bureaucratic."<sup>53</sup>

CBP is mostly comprised of professional law enforcement officers of different disciplines who are "highly trained and socialized to accept high standards of performance so that rules and procedures are redundant and often offensive to them."<sup>54</sup> The professional is highly trained and indoctrinated into their respective specialization

and must have the discretion to use their skills and training, or their value will be wasted which is inefficient from the organization's viewpoint.<sup>55</sup> Hatch also points out that non-routine technologies as well as complex and unstable environments are a detriment to the effectiveness of a bureaucratic organization.<sup>56</sup>

The bureaucracy, and more specifically, the machine bureaucracy is not set up to accommodate constant changes, "since change requires rewriting policies and rules and disseminating the revisions to decision makers who must then remember the new rules or constantly refer to manuals and memos."<sup>57</sup> Mintzberg also supports this notion and states that machine bureaucracies are designed for a specific purpose and like actual machines are difficult to modify when conditions change.<sup>58</sup> Other problems with bureaucracy include excessive red tape, slow decision-making, an over reliance on rules and formals and too much review of decisions which can lead to lower productivity.<sup>59</sup>

#### Brief Analysis of CBP's Joint Environment

A third element within the CBP organization structure is the JFC-Arizona. "The JFC oversees all CBP operations throughout Arizona, and is responsible for strategic and operational lay down for the Tucson and Yuma Border Patrol Sectors, the Office of Field Operations' Tucson Field Office, and the Office of Air and Marine's Tucson and Yuma Air Branches."<sup>60</sup> The JFC is headed by a Commander who reports directly to Deputy Commissioner of CBP. The JFC Arizona is the only such construct within CBP's organization structure and its purpose is to expand coordination and bringing greater unity to enforcement efforts within the state of Arizona.<sup>61</sup>

In February of 2012, CBP senior leadership testified before a House Committee on Appropriations, Subcommittee on Homeland Security that "the Arizona Joint Field

Command (JFC) is an organizational realignment that brings together Border Patrol, Air and Marine, and Field Operations under a unified command structure to integrate CBP's border security, commercial enforcement, and trade facilitation missions to more effectively meet the unique challenges faced in the Arizona area of operations.”<sup>62</sup> Based on the testimony and information gleaned off the CBP website, the JFC is ostensibly modeled after the JFC paradigm that the military uses.<sup>63</sup>

“‘Joint operations’ is a general term that describes military actions conducted by joint forces or by Service forces employed under command relationships.”<sup>64</sup> “The primary way the Department of Defense employs two or more Services (from two Military Departments) in a single operation, particularly in combat, is through joint operations.”<sup>65</sup> Joint operations doctrine consists of the fundamentals of joint operations as an instrument to project national power as part of unified action; the art of command within a joint environment, unity of command, joint functions of C2, the Joint Operational Planning Process, organizing for joint operations, and executing joint operations “across the range of military operations.”<sup>66</sup>

Joint operations within the Department of Defense can not only consist of two or more Service components (Army, Navy, Air Force, Marines, Coast Guard), but may also involve similar multi-national, intergovernmental, and interagency components. Organizing for joint operations involves many considerations and depends mostly on the forces involved, the environment, and the desired end state or mission to be accomplished. “The first principle in joint force organization is that JFCs organize forces to accomplish the mission based on their intent and concept of operations.”<sup>67</sup>

“Unity of command, centralized planning and direction, and decentralized execution are key considerations.”<sup>68</sup> Most importantly, JFCs should allow Service, special operations forces, intergovernmental and interagency organizations to generally function as they were designed.<sup>69</sup> Unified action, unity of effort and unity of command are three major tenets of joint operations. Unified action is defined as “the synchronization, coordination, and-or integration of the activities of governmental and nongovernmental entities with military operations to achieve unity of effort.”<sup>70</sup> Unity of effort means the “coordination and cooperation towards common objectives, even if the participants are not necessarily part of the same command or organization- the product of successful unified action.”<sup>71</sup> Unity of command is “the operation of all forces under a single responsible commander who has the requisite authority to direct and employ those forces in pursuit of a common purpose.”<sup>72</sup>

“A joint task force (JTF) is a joint force that is constituted and so designated by a JTF establishing authority (e.g. the Secretary of Defense, a combatant commander) to conduct military operations or to support a specific situation. It is usually part of larger national or international effort to prepare for or react to that situation.”<sup>73</sup> “Most often, joint forces are organized with a combination of Service and functional component commands, and subordinate task forces with operational responsibilities.”<sup>74</sup>

There are some similarities between the organization of Joint Task Force and the organization of the JFC Arizona, but there is one large fundamental difference between the two. A joint task force or any other joint operations structure such as a combatant command or subordinate unified command within the Department of Defense is a large, complex, multi-echelon, multi-Service, multi-agency organization specifically organized

and designed to operate in complex environments that in most cases are outside the Continental U.S.<sup>75</sup> The JFC Arizona consists of component offices of CBP within the state of Arizona who fall under the command authority of the Commander, JFC-Arizona. It is essentially a multi-office conglomeration within an Agency that is within a Department operating within the continental U.S. with a very small international footprint.

The JFC Arizona also resembles the regional concept that was in existence within the INS and USCS prior to CBP's inception. In 1955, the INS established four regional offices spatially differentiated to centralize administrative functions, have better control of adjudication processing and handle case appeals.<sup>76</sup> According to a U.S. GAO report entitled, *Immigration Management: Strong Leadership and Management Reforms Needed to Address Serious Problems*, the overall organization structure with the four regions was marked by complicated lines of authority and communication based on geographic regions which produced geographic fragmentation, further exacerbated INS' segmented management, hampered resource allocation and consistent program implementation.<sup>77</sup>

One of the proposals in the report included a significant change in the role of the regional offices. The proposal was that the "regions would no longer be in the chain of command for enforcement and examinations, but they would retain regional administrative functions."<sup>78</sup> Subsequent GAO reports on this subject found a new organization structure which included the creation of four Executive Associate Commissioners at the headquarters improved oversight of the regions and their



subordinate offices. Although there was improvement, there were still issues that were unresolved.<sup>79</sup>

The current JFC structure currently utilized is ill-suited to accomplish CBP's mission. This conclusion is based on the analysis of the JFC-Arizona's organizational structure, intended purpose, and the limited information available to the public. This thesis's primary focus is the organization structure of CBP's national element and its C2 relationship with the field. A more substantive and detailed study of the JFC-Arizona and joint operations is warranted in order to draw more specific conclusions and make more explicit recommendations regarding a JFC concept.

### Redesigning the National Element

After an extensive analysis of the national and field elements' organizational structure and interrelationships, it is apparent the current structure at the headquarters element is not suitable for the large, complex, and highly specialized organization CBP has become. The existing structure is problematic because it created a very competitive, cliqued and "stove-piped" atmosphere among the components without adequate control and guidance to ensure the Secretary's and Commissioner's directives and strategies are implemented in an effective and unified manner. Having all the component and staff offices listed equally on the organizational chart led to an unmanageable high span of control for the Commissioner and Deputy Commissioner, confusion regarding roles and responsibilities and disjointed efforts, which do not effectively and efficiently accomplish the mission.

In an organization where there are nine staff offices and 14 component offices with ostensibly equal status within the organization, there is going to be competition for

power and resources, conflict and a threat to cohesiveness and teamwork.<sup>80</sup> To decrease conflict and competition and increase cohesion and teamwork, a reorganization of the national element is warranted. The national element of CBP should be organized into a multi-divisional structure where each division is differentiated by function and managed by a senior-level, career appointed employee whose title is Associate Commissioner.

The proposed organization structure is comprised of the Commissioner's Office and Staff plus three divisions: the "Operations Division," the "Operations Support Division" and the "Mission Support Division." Each division will be managed by an Associate Commissioner who reports to the Commissioner of CBP through the Deputy Commissioner. The Commissioner's Office will obviously contain the Commissioner and Deputy Commissioner of CBP along with their respective office staffs to include the Chief of Staff and Deputy Chief of Staff. The other components of the Commissioner's Office are the Office of Trade Relations and the Joint Operations Directorate.

The duties and responsibilities of these two staff offices are to specifically support and advise the commissioner of CBP, while the other seven staff offices support not only the commissioner, but to either the operational offices or to CBP as a whole. Therefore it is prudent and more effective to relocate the remaining seven staff offices into a particular division based on their functionality. To avoid confusion and to establish consistency, these staff offices will be called "components" and will be headed by a manager whose title is Executive Director. The exceptions to this are the Office of Trade Relations and the Office of Chief Counsel whose leaders will retain their respective titles because of the nature of their duties.

The Operations Division contains the offices within CBP that have the organic personnel, capabilities and enforcement authorities to directly accomplish the organization's mission of securing our Nation's borders and facilitating legitimate travel and trade. The Operations Division conducts CBP's decisive operation in its enforcement of all federal customs and immigration laws and regulations while fostering legitimate and safe travel.<sup>81</sup> U.S. Army Doctrine Publication 3-0, *Unified Land Operations* defines decisive operation as an operation which "leads directly to the accomplishment of a commander's purpose."<sup>82</sup> OAM, OFO, OT, and the USBP make up the Operations Division. The Associate Commissioner of the Operations Division will have four subordinate assistant commissioners reporting to him/her, who will still manage their respective component offices.

The second division is entitled the Operations Support Division. The Operations Support Division contains both staff offices and component offices whose primary functions and responsibilities are to directly support, augment or assist the primary operational components. The offices within this division are not attached to, nor under the command of the supported primary operational offices but are required to give priority to the support required by those offices.<sup>83</sup> These offices accomplish this by providing a myriad of services and specialized expertise such as intelligence gathering and processing, international, state, local, and tribal liaison, overseas initiatives, joint inter-component office coordination and planning.

The four component offices who fall into this category are the Office of International Affairs, Office of Intelligence and Investigative Liaison, Office of Information and Technology, and Office of Technology Innovation and Acquisition The

staff offices who would relocate into this division are the Office of Policy and Planning, Office of Strategic Integration, and the State, Local, and Tribal Liaison Office. These former staff offices are led by a manager whose title is Executive Director as opposed to Assistant Commissioner. The reason they are entitled Executive Director is because of the relatively small size and scope of the offices and the fact that some of these offices are not led by a member of the Senior Executive Service as with all of the component offices.<sup>84</sup>

The third proposed division is entitled the “Mission Support Division.” The Mission Support Division contains the staff offices and component offices within CBP whose mission is to provide administrative, legal, human resource, financial management, training, and public and Congressional affairs support to the entire CBP organization. Each of these offices has a mission support function as well as subject matter experts and professionals within the national and field elements that provide support to all of the component offices allowing them to concentrate on their specified tasks and mission objectives.<sup>85</sup>

The component offices grouped within this proposed division are the Office Human Resources, the Office of Administration, the Office of Public Affairs, the Office of Internal Affairs, the Office of Training and Development, and the Office of Chief Counsel. The staff offices moving into this division are the Office of Executive Secretariat, the Office of Diversity and Civil Rights, and the Office of Program Management. As in the Operations Support Division, the former staff offices will be headed by an Executive Director because of their relative small size and scope.<sup>86</sup> The main responsibility of the “Mission Support Division” is to support all of the component

offices and components of CBP, including the Commissioner's office. Appendix A contains the proposed organization chart of the national element.

The C2 system appropriate between the national and field element is one that promotes a centralized command with decentralized execution. More and more companies and corporations are abandoning the rigid, hierarchal and archaic C2 system of the machine bureaucracy and adopting a more decentralized decision making process.<sup>87</sup> The proposed C2 system that CBP should adopt is the preferred C2 system that the U.S. Army uses called mission command.<sup>88</sup>

"Mission command is the conduct of operations through decentralized execution based on mission orders for effective mission accomplishment."<sup>89</sup> FM 1, *The Army*, which is one of the two capstone documents for the U.S. Army, states that "under mission command, commanders provide subordinates with a mission, their commander's intent and concept of operations, and resources adequate to accomplish the mission. Higher commanders empower subordinates to make decisions within the commander's intent and leave the details of execution to their subordinates to accomplish the mission."<sup>90</sup>

This C2 concept is also found within the professional bureaucracy which is a highly decentralized structure in both the vertical and horizontal dimensions as described earlier in the chapter.<sup>91</sup> With mission command, the commissioner of CBP can provide his subordinates his commander's (or in this case, Commissioner's) intent which is a statement of what the organization must do and the conditions must meet to succeed.<sup>92</sup>

The desired end state for CBP is laid out in the commissioner's intent and based upon the strategic direction given by the President and the Secretary of Homeland Security as well as his own vision for what defines success for CBP. The national

element will still provide policies and procedures to all its domestic and international locations based on U.S. laws, regulations, and now commissioner's intent but now the national element should be less focused on the day to day management of its field element.

Large organizations also gravitate towards decentralization. "Growth in size tends to reduce efficiency and organizational effectiveness. Because of an inverse relationship between an organization's size and the effectiveness of its control system, large organizations are forced towards decentralization."<sup>93</sup> Blau and Schoenherr support this notion when they concluded that "the large size of an agency produces conflicting pressures on top management, as it heightens the importance of managerial decisions, which discourages delegating them, and simultaneously expands the volume of managerial responsibilities, which exerts pressure to delegate some of them."<sup>94</sup> "The net result of increasing size is increased delegation or decentralization."<sup>95</sup>

The proposed organizational structure of the national element differs from its current structure in many ways. The current structure at the national element is not suitable for a large, complex, and highly specialized organization that CBP has become. Such a flat and horizontal construct is best suited for small, simple companies. The current structure also breeds competition for power and resources, conflict and is a threat to cohesiveness and teamwork. The proposed organizational structure is a multi-divisional and functionally differentiated structure that severely reduces the span of control of the Commissioner's Office. *Organization Charts* is a book that graphically illustrates the structures of more than 200 businesses and non-profit organizations including Chevron, Valero, Chrysler, Pfizer, and Phillip Morris Co.<sup>96</sup> A review of all of

the diagrams within the book show that a majority of the companies are structured in a multi-divisional format with each of the divisions being functionally differentiated from the others.<sup>97</sup>

This type of structure alleviates conflict among the offices and promotes greater efficacy and efficiency because it clearly delineates which offices are directly responsible for accomplishing CBP's priority mission of securing our Nation's borders and facilitate legitimate trade and travel. It also delineates which component offices and components either directly support operations and which ones support the entire CBP organization. Reorganizing the national element in this manner is cost effective.

The only new requirements would be to hire three additional managers within the Senior Executive Service to serve as Associate Commissioners and provide them with offices within CBP headquarters in Washington, D.C. Due to its centralized location within the Washington, D.C. metropolitan area, it is not necessary to realign office locations, relocate personnel or build additional buildings or structures to house additional employees. The main changes are the addition of three Associate Commissioners to lead the divisions, the reassignment of several staff offices from the Commissioner's "office" to within an appropriate division, clearer roles and responsibilities and a change in the number of direct reports the Commissioner and Deputy Commissioner have creating an appropriate span of control.

In this chapter, a qualitative analysis was completed on the organizational structure of the national and field elements of CBP as well as the JFC-Arizona using documentation review while looking through the "lens" of an organizational theorist. The analysis found the national element is structured like a machine bureaucracy, the field

element is structured like a professional bureaucracy, and the JFC-Arizona is designed to model a JFC from the U.S. military. The current C2 is rigid and centralized within the national element and between the national and field elements. The field element had a decentralized C2 system among its top management and its local managers. A proposed organization structure and C2 system was described in the later part of the chapter 4. In the next chapter, a conclusion of the analysis is submitted to answer the thesis questions and recommendations for action and further study are made.

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<sup>1</sup>U.S. Customs and Border Protection, “About CBP.”

<sup>2</sup>DuBrin, 273.

<sup>3</sup>Anthony, Gales, and Hodge, 48; Mintzberg, 189-213.

<sup>4</sup>DuBrin, 259.

<sup>5</sup>Hatch, 170-171

<sup>6</sup>Mintzberg, 35.

<sup>7</sup>Max Weber, “The Theory of Social and Economic Organization,” in *Fundamentals of Organizational Behavior*, ed. Andrew J. DuBrin (Mason, OH: Thomson South-Western, 2002), 259.

<sup>8</sup>U.S. Customs and Border Protection, “Snapshot: A Summary of CBP Facts and Figures,” [http://www.cbp.gov/linkhandler/cgov/about/accomplish/cbp\\_snapshot.ctt/snapshot.pdf](http://www.cbp.gov/linkhandler/cgov/about/accomplish/cbp_snapshot.ctt/snapshot.pdf) (accessed 19 March 2012).

<sup>9</sup>U.S. Customs and Border Protection, “Careers,” <http://www.cbp.gov/xp/cgov/careers/> (accessed 21 March 2012).

<sup>10</sup>Daft, 335.

<sup>11</sup>*Ibid.*

<sup>12</sup>Hatch, 171.

<sup>13</sup>Mintzberg, 164.



<sup>14</sup>U.S. Customs and Border Protection, “Contacts,” <http://www.cbp.gov/xp/cgov/toolbox/contacts/> (accessed 19 March 2012).

<sup>15</sup>Mintzberg, 165.

<sup>16</sup>*Ibid.*

<sup>17</sup>U.S. Customs and Border Protection, “We are CBP!” [http://www.cbp.gov/xp/cgov/careers/customs\\_careers/we\\_are\\_cbp.xml](http://www.cbp.gov/xp/cgov/careers/customs_careers/we_are_cbp.xml) (accessed 19 March 2012).

<sup>18</sup>Daft, 339.

<sup>19</sup>DuBrin, 262.

<sup>20</sup>Anthony, Gales, and Hodge, 36.

<sup>21</sup>U.S. Customs and Border Protection, “Commissioner’s Staff Offices”; U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”

<sup>22</sup>DuBrin, 262.

<sup>23</sup>Anthony, Gales, and Hodge.

<sup>24</sup>There are a few Border Patrol agents who are assigned to various offices within CBP, but they retain the title and authority of a Border Patrol Agent.

<sup>25</sup>Daft, 269.

<sup>26</sup>U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”

<sup>27</sup>Anthony, Gales, and Hodge, 44.

<sup>28</sup>U.S. Customs and Border Protection, “CBP Organization Chart.”

<sup>29</sup>Urwick, 39-47.

<sup>30</sup>*Ibid.*

<sup>31</sup>*Ibid.*

<sup>32</sup>Nickols.

<sup>33</sup>*Ibid.*

<sup>34</sup>Jeffrey P. Sundberg, “Analyzing the United States Air Force Organizational Structure-A Case for Reorganization” (Monograph, School of Advanced Military Studies, 2011); Doris R. Entwisle and John Walton, “Observations on the Span of Control,” *Administrative Science Quarterly* 5, no 4 (March 1961), <http://www.jstor>.

org/discover/10.2307/2390619?uid=5045008&uid=3739672&uid=2129&uid=2134&uid=322410173&uid=2&uid=70&uid=3&uid=67&uid=62&uid=3739256&uid=60&uid=322410163&uid=20778&sid=55971276123 (accessed 30 March 2012).

<sup>35</sup>Gary Yukl, *Leadership in Organizations*, 6th ed. (Upper Saddle River, NJ: Pearson Prentice Hall, 2006), 36.

<sup>36</sup>Troy Lane, "Span of Control for Law Enforcement Agencies," *The Police Chief* 73, no. 10 (October 2006), [http://www.policechiefmagazine.org/magazine/index.cfm?fuseaction=print\\_display&article\\_id=1022&issue\\_id=102006](http://www.policechiefmagazine.org/magazine/index.cfm?fuseaction=print_display&article_id=1022&issue_id=102006) (accessed 30 March 2012).

<sup>37</sup>*Ibid.*

<sup>38</sup>U.S. Customs and Border Protection, "About CBP;" U.S. Customs and Border Protection, "This is CBP," <http://www.cbp.gov/xp/cgov/about/mission/cbp.xml> (accessed 27 December 2011); U.S. Customs and Border Protection, "Commissioner's Staff Offices."

<sup>39</sup>Mintzberg, 12.

<sup>40</sup>*Ibid.*, 189-213.

<sup>41</sup>*Ibid.*

<sup>42</sup>U.S. Customs and Border Protection, "Careers."

<sup>43</sup>*Ibid.* Thesis author is a seventeen year Border Patrol veteran who is currently the Patrol Agent in Charge of the Rochester Border Patrol station. The author entered on duty on 28 August 1995 and graduated from the Border Patrol Academy on 12 January 1996.

<sup>44</sup>Mintzberg, 191.

<sup>45</sup>*Ibid.*

<sup>46</sup>*Ibid.*, 189-213; U.S. Customs and Border Protection, "Careers." Thesis author is a seventeen year Border Patrol veteran who is currently the Patrol Agent in Charge of the Rochester Border Patrol station. The author entered on duty on 28 August 1995 and graduated from the Border Patrol Academy on 12 January 1996.

<sup>47</sup>Mintzberg, 189-213.

<sup>48</sup>U.S. Customs and Border Protection, *Fiscal Year 2009-2014 Strategic Plan*.

<sup>49</sup>DuBrin, 262.

<sup>50</sup>James L. Bowditch, and Anthony F. Buono, *A Primer on Organizational Behavior*, 5th ed. (Hoboken, NJ: John Wiley and Sons Inc., 2001), 253.

<sup>51</sup>Mintzberg, 195.

<sup>52</sup>Daft, 336.

<sup>53</sup>Hatch, 170-174.

<sup>54</sup>*Ibid.*

<sup>55</sup>*Ibid.*

<sup>56</sup>*Ibid.*

<sup>57</sup>*Ibid.*

<sup>58</sup>Mintzberg, 176.

<sup>59</sup>DuBrin, 262.

<sup>60</sup>U.S. Customs and Border Protection, “Joint Field Command Arizona,” [http://www.cbp.gov/xp/cgov/border\\_security/arizona/](http://www.cbp.gov/xp/cgov/border_security/arizona/) (accessed 22 March 2012).

<sup>61</sup>*Ibid.*

<sup>62</sup>Joint Testimony of: Michael Fisher, Chief, United States Border Patrol; Michael Kostelnik Assistant Commissioner Office of Air and Marine; Mark Borkowski Assistant Commissioner Office of Technology Innovation & Acquisition; Kevin K. Mcaleenan Acting Assistant Commissioner Office of Field Operations before the House Appropriations Committee Subcommittee On Homeland Security, 29 February 2012, Washington, DC, 4.

<sup>63</sup>Department of Defense, JP 1.

<sup>64</sup>Department of Defense, JP 3-0, ix.

<sup>65</sup>*Ibid.*

<sup>66</sup>Department of Defense, JP 3-0, ix; Department of Defense, Joint Publication (JP) 5-0, *Joint Operation Planning* (Washington, DC: Government Printing Office, 11 August 2011), IV-1 to IV-44.

<sup>67</sup>Department of Defense, JP 3-0, xvi.

<sup>68</sup>*Ibid.*

<sup>69</sup>*Ibid.*

- <sup>70</sup>Department of Defense, JP 1, GL-11.
- <sup>71</sup>*Ibid.*
- <sup>72</sup>Department of Defense, JP 3-0, GL-18.
- <sup>73</sup>Department of Defense, Joint Publication (JP) 3-33, *Joint Task Force Headquarters* (Washington, DC: Government Printing Office, 16 February 2007), xi.
- <sup>74</sup>*Ibid.*, III-1.
- <sup>75</sup>Department of Defense, JP 1; Department of Defense, JP 3-0.
- <sup>76</sup>U.S. General Accounting Office, GAO/GGD 91-28, 74.
- <sup>77</sup>*Ibid.*, 7.
- <sup>78</sup>*Ibid.*, 87.
- <sup>79</sup>U.S. General Accounting Office, GAO/GGD-97-132; U.S. General Accounting Office, GAO/T-GGD-99-148; U.S. General Accounting Office, GAO-02-168T.
- <sup>80</sup>Yukl, 37.
- <sup>81</sup>U.S. Customs and Border Protection, *Fiscal Year 2009-2014 Strategic Plan*.
- <sup>82</sup>Headquarters, Department of Army, Army Doctrine Publication (ADP) 3-0, *Unified Land Operations* (Washington, DC: Government Printing Office, 2011), 13.
- <sup>83</sup>Headquarters, Department of Army, FM 1-02, 1-61. This concept is based on the U.S. Army/U.S. Marine Corps definition and concept of “direct support.” FM 1-02 defines “direct support” as “a mission requiring a force to support another specific force and authorizing it to answer directly the supported force’s request for assistance. (NATO) 1. The support provided by a unit or formation not attached to, nor under command of, the supported unit or formation, but required to give priority to the support required by that unit or formation.”
- <sup>84</sup>U.S. Customs and Border Protection, “Commissioner’s Staff Offices”; U.S. Customs and Border Protection, “Assistant Commissioners’ Offices.”
- <sup>85</sup>*Ibid.*
- <sup>86</sup>U.S. Customs and Border Protection, “Commissioner’s Staff Offices.”
- <sup>87</sup>Daft, 336-338.
- <sup>88</sup>Headquarters, Department of Army, FM 6-0.

<sup>89</sup>Ibid., 1-17.

<sup>90</sup>Headquarters, Department of Army, FM 1, 3-8.

<sup>91</sup>Mintzberg, 195.

<sup>92</sup>Headquarters, Department of Army, FM 6-0, 1-17.

<sup>93</sup>Jamshid Gharajedaghi, *Systems Thinking: Managing Chaos and Complexity* (Boston, MA: Butterworth Heinemann, 1996), 18.

<sup>94</sup>Peter M. Blau and Richard A. Schoenherr, *The Structure of Organizations* (New York: Basic Books, Inc., 1971), 130.

<sup>95</sup>Richard H. Hall, *Organizations: Structure and Process*, 2nd ed. (Englewood Cliffs, NJ: Prentice-Hall, Inc., 1977), 183.

<sup>96</sup>Nixon.

<sup>97</sup>Ibid.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

#### Introduction

The purpose of this paper was to answer the primary and secondary thesis questions: what is the appropriate national level organizational structure and C2 system for CBP and where does the JFC-Arizona and any future JFCs belong within the overall organization structure? To answer this question, the author conducted a qualitative study using a narrative research approach assisted by documentation review and content analysis of existing publications and official websites pertaining to C2 systems, organizational structure, organizational theory and the current operations and history of CBP.

Chapter 5 is organized into two sections: the conclusion section and the recommendation section. The conclusion section will present the answer to the thesis questions and the conclusions made from chapter 4. The recommendation section will include areas for further study regarding CBP's organization structure and design and recommended next steps for implementing the proposed organization structure and C2 system.

#### Conclusion

Chapter 1 outlined the problems with CBP's current national level organizational construct and C2 system and identified the thesis questions to be answered. Chapter 1 also identified the hypothesis for this paper, which is that CBP's organizational structure, at the national level, needs to be reorganized and redesigned while the C2 system

between the national and field elements needs to mirror the U.S. Army's C2 system of "mission command." Chapter 2 focused on the literature review for this thesis and the identification of key terms and definitions, while chapter 3 identified the research methodology and criteria used to determine the appropriate organizational structure and C2 system.

Chapter 4 began with a detailed analysis of the organizational structures of CBP's national and field elements. The chapter then focused on a brief analysis of the JFC-Arizona to answer the secondary thesis question: where do the JFC Arizona and any future JFCs belong within the overall organization structure? After the analysis portion of the chapter was completed, a case was made for reorganizing the national element and implementing a mission command focused C2 system that emphasizes "centralized command and decentralized execution." The thesis questions were also answered within the last part of the chapter.

The appropriate organization structure for CBP's national element is a multi-divisional structure where each division contains component offices differentiated by function and managed by a senior-level, career appointed employee whose title is Associate Commissioner. A proposed organization chart is found in Appendix A. The proposed organization chart illustrates an organizational structure comprised of the Commissioner's Office and staff plus three divisions led by an Associate Commissioner: the "Operations Division," the "Operations Support Division" and the "Mission Support Division." Each Associate Commissioner reports directly to the Deputy Commissioner of CBP who then reports to the Commissioner.

The Operations Division's mission is to secure our Nation's borders and facilitate legitimate trade and travel. The Operations Division possesses the organic personnel, capabilities and enforcement authorities to directly accomplish the organization's mission and its focus needs to be on mission accomplishment. Based on the nature of their job descriptions, roles, and responsibilities, the other two divisions' focus needs to be on supporting either the Operations Division or CBP as a whole. The appropriate C2 system between CBP's national and field elements is "mission command" which promotes "centralized command and decentralized execution."<sup>1</sup>

Reorganizing the national element's structure into a multi-divisional format and adopting a C2 system that stresses centralized command and decentralized execution satisfies the criteria used to determine the appropriate national level organizational structure and C2 system. Based on CBP's size, complexity, and operating environment, having a national element with a departmentalized, multi-divisional structure best enables mission accomplishment in a number of ways.

First, by grouping people together based on similar job descriptions, performance measures and skills, an organization is able to carry out its mission more efficiently and effectively.<sup>2</sup> Secondly, this structure alleviates conflict among the offices and promotes greater efficacy and efficiency because it clearly delineates which offices are directly responsible for accomplishing CBP's priority mission of securing our Nation's borders and facilitate legitimate trade and travel. It also delineates which component offices and components either directly supports operations and which ones support the entire CBP organization.



According to Hatch, another advantage of the multi-divisional structure is its ability to offer enhanced responsiveness to the needs of its “customers” because “the specialization of the organization allows greater focus on the businesses each division operates.”<sup>3</sup> Having a divisionalized organization structure with each division focused on its respective roles and responsibilities within the organization will create a less competitive and cliqued environment, which enables greater efficacy throughout CBP.

The proposed national-level organization structure departmentalizes each national element office, clearly delineates their roles and responsibilities and provides the proper supervision of these offices. In this construct, most of the existing component offices and staff offices of the commissioner were reorganized into three distinct and functional divisions with each division being led by a newly created senior-level manager who reports to the Commissioner through the Deputy Commissioner. Chapter 4 broadly defined the roles and responsibilities of each division and the titles of the component office and component leaders are now more uniform and less ambiguous.

Under the recommended structure, the span of control for each senior-level leader is now a manageable number. Instead of being directly responsible for 23 managers, the Commissioner and Deputy Commissioner are now only directly responsible for six, which includes their respective Chiefs of Staff. The manager with the greatest span of control is the Associate Commissioner of the Mission Support Division who has ten direct reports. This number is acceptable because the managers with whom the Associate Commissioner is responsible for are in charge of relatively small component offices and components compared to their counterparts in the other two divisions. This is supported

by Sir General Ian Hamilton who stated “the smaller the responsibility of the group member, the larger may be the group.”<sup>4</sup>

Centralized command and decentralized execution, or “mission command” is the most appropriate C2 system for CBP. It is a system best suited for a large, diverse, and complex government agency to C2 its field level offices. To effectively accomplish the agency’s mission, as stated in chapter 4, more and more companies and corporations are abandoning the rigid, hierarchal and archaic C2 system of the machine bureaucracy and adopting a more decentralized decision making process.<sup>5</sup> “Under mission command, subordinates have an absolute responsibility to fulfill the commander’s intent.”<sup>6</sup> Mission command enables subordinates with current information to make decisions, decreases the amount of information passed up and down the chain of command, and allows greater agility and flexibility in dynamic operations and within environments of high uncertainty and complexity.<sup>7</sup>

Trust, autonomy, and cultivating a “culture of discipline” are critical tenets of centralized command and decentralized execution. Author Jim Collins states that when you have disciplined people, disciplined thought, and disciplined action, you do not need hierarchy, bureaucracy, and excessive controls.<sup>8</sup> Centralized command and decentralized execution was used by Napoleon during the Napoleonic Wars from 1803-1815 and was the only system that could adequately deploy, manage, and supply one million troops dispersed in theaters hundreds of miles apart.<sup>9</sup>

Unfortunately, the subsidiary question of “where do the JFC-Arizona and any future Joint Field Commands belong within the overall organization structure” could not be sufficiently answered within this study. This thesis’s primary focus is the organization

structure of CBP's national element and its C2 relationship with the field and a more substantive and detailed study of the JFC-Arizona and joint operations is warranted in order to draw more specific conclusions and make more explicit recommendations regarding a JFC concept. There simply was not enough open-source reference material that is available to the public on the JFC-Arizona to conduct an objective and adequate study on where JFCs belong within CBP.

### Recommendations

It is recommended CBP implement the proposed organizational structure described in chapters 4 and 5 and depicted in Appendix A. This paper has sufficiently answered the primary thesis question and found the most appropriate national level organizational structure and C2 system. Implementing a three-division organization structure along with a mission command-style C2 system will lead to a more efficient and effective national level element which will in-turn, produce a more effective and efficient CBP. This proposed reorganization and C2 concept should be submitted to the Commissioner and Deputy Commissioner of CBP for approval and eventual execution.

If a large-scale reorganization is going occur, there is an important element to consider if the reorganization is going have long-term success: CBP's organizational culture and anchoring this change within the culture. Edgar Schein defines organization culture as "a pattern of shared basic assumptions learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems."<sup>10</sup>

“Large-scale change in an organization requires some change in the organization culture as well as direct influence over individual subordinates. By changing the culture of an organization, top management can indirectly influence the motivation and behavior of organization members.”<sup>11</sup> A comprehensive study of the organizational cultures within CBP and how to effectively merge these cultures is recommended. Organizational culture was originally going to be part of this study, but including it would have made the overall research too daunting and the paper too unwieldy.

Incorporating John Kotter’s “Eight-Stage Process of Creating Major Change” into a study on organizational culture and/or organizational change is also recommended.<sup>12</sup> This process is found in his book *Leading Change* and provides a practical method for implementing large-scale, long-lasting organizational change. The final recommendation is to have future Department of Defense school students, conduct a study on the JFC organizational structure and how it fits within CBP’s organization structure. The study should at a minimum include internal JFC-Arizona documents, interviews with key CBP employees inside the JFC-Arizona headquarters and the Tucson and Yuma Border Patrol sectors, and U.S. military doctrine.

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<sup>1</sup>Headquarters, Department of Army, FM 3-0, 5-12; Headquarters, Department of Army, ADP 3-0.

<sup>2</sup>Anthony, Gales, and Hodge, 215.

<sup>3</sup>Hatch, 187.

<sup>4</sup>Sir Ian Hamilton, *The Soul and Body of an Army* (London: Edward Arnold and Co., 1921), 229.

<sup>5</sup>Daft, 336-338.

<sup>6</sup>Headquarters, Department of Army, FM 6-0, 2-8 to 2-9.

<sup>7</sup>Ibid.

<sup>8</sup>Jim Collins, *Good to Great: Why Some Companies Make the Leap and Others Don't* (New York: HarperCollins Publishers Inc., 2001), 13.

<sup>9</sup>Thomas M. Huber, "The Rise of Napoleon," in U.S. Army Command and General Staff College, H100 Syllabus and Book of Readings (Fort Leavenworth: USACGSC, May 2011), H104RA-87.

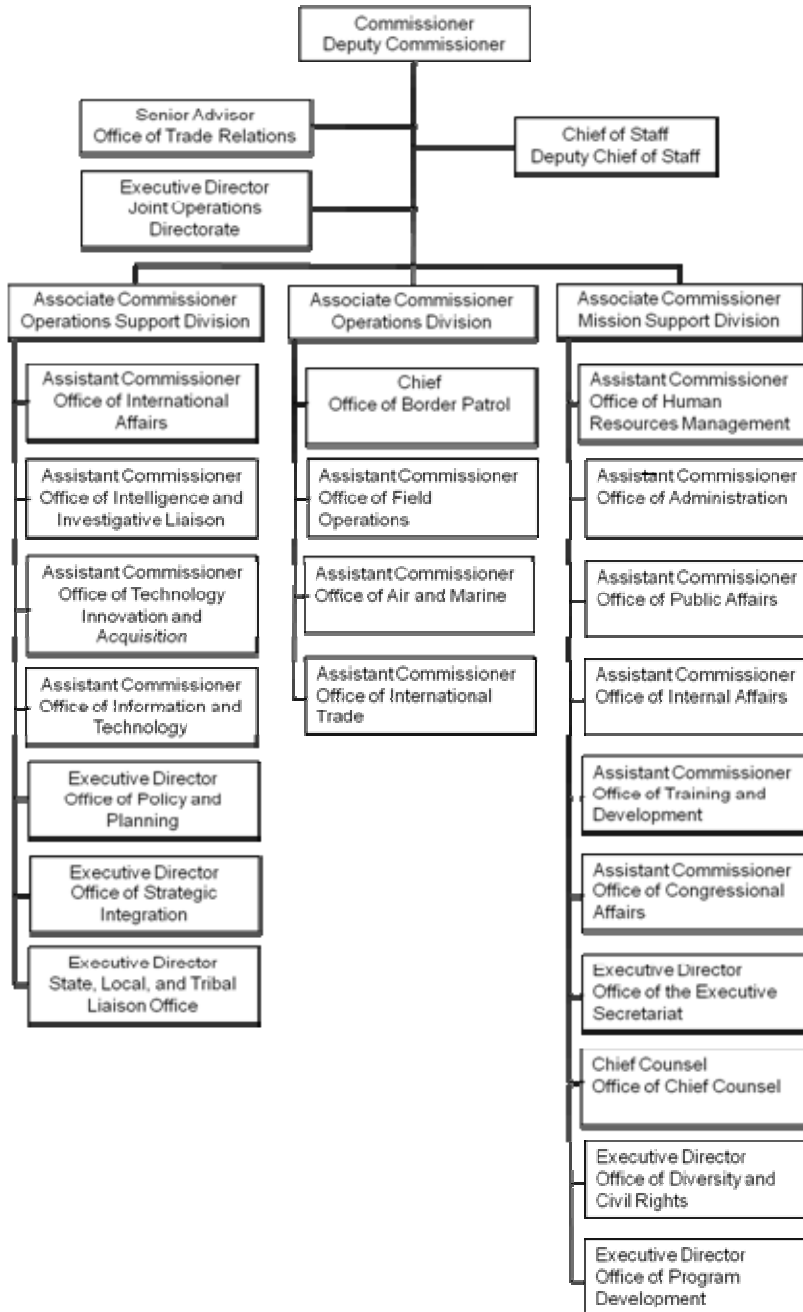
<sup>10</sup>Edgar H. Schein, *Organizational Culture and Leadership*, 4th ed. (San Francisco, CA: Jossey-Bass, 2010), 18.

<sup>11</sup>Yukl, 290.

<sup>12</sup>John P. Kotter, *Leading Change* (Boston, MA: Harvard Business School Press, 1996), 21.

## APPENDIX A

### PROPOSED CBP ORGANIZATION CHART



*Source:* Created by thesis author, adapted from U.S. Customs and Border Protection, “CBP Organization Chart,” <http://www.cbp.gov/linkhandler/cgov/about/organization/orgcha1.ctt/orgcha1.pdf> (accessed 20 March 2012).

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